DOCUMENT RESUME

ED 241 735 CE 038 484

TITLE	Administration of Child Care Programs: Business Management. Student Laboratory Manual.
INSTITUTION	Texas Tech Univ., Lubbock. Home Economics Curriculum Center.
SPONS AGENCY	Texas Education Agency, Austin. Dept. of Occupational Education and Technology.
PUB DATE	Sep 83
NOTE	148p.; For a related document, see CE 038 483.
AVAILABLE FROM	Home Economics Curriculum Center, Texas Tech University, Box 4067, Lubbock, TX 79409-4067.
PUB TYPE	Guides - Classroom Use - Materials (For Learner) (051)
EDRS PRICE	MF01 Plus Postage. PC Not Available from EDRS.
DESCRIPTORS	Behavioral Objectives; *Business Administration; Child Care Givers; Competency Based Education; *Day Care; Day Care Centers; Early Childhood Education; Financial Support; Job Skills; Laboratory Manuals; Laws; Leadership; Learning Activities; *Legal Responsibility; Money Management; Occupational Home Economics; *Personnel Management; Postsecondary Education; *Program Administration; *Program Budgeting; Recordkeeping; Small Businesses; Workbooks

ABSTRACT

Designed as a laboratory experience guide and workbook, this manual exposes postsecondary students to the general competencies and business management aspects of child care program administration. The four units cover general competencies (functions of management, leadership, and board of directors), regulations and legal concerns, personnel (organizing, acquiring and dismissing, and maintaining), and finances (funding, record keeping, and financial control). Each unit begins with performance objectives. An overview introduces basic concepts related to the unit topic. Suggested readings for in-depth study are given at the end of the overview. Lab experiences in each unit include both observation and participation assignments. Unit 1 has 11 lab experiences; unit 2 has 7; unit 3 has 15; unit 4 has 6. Each lab experience details the learning objective and directions and provides a list of any materials necessary to complete the experience. Participatory evaluation forms are included for the instructor's use in evaluating a student's performance. A checklist is provided for students to evaluate their own performance. Other components of the manual include guidelines for successful lab experiences, a glossary, and a 15-item bibliography. (YLB)

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Administration of Child Care Programs:
Business Management
Student Laboratory Manual

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Texas Education Agency
Division of Post-Secondary Programs
Department of Occupational
Education and Technology
Austin, Texas

CE038484

SEPTEMBER 1983

Acknowledgments

These materials were developed through funding from the Department of Occupational Education and Technology, Texas Education Agency, Austin, Texas under Subpart 3, Program Improvement, of Public Law 94-482, and in cooperation with the College of Home Economics, Texas Tech University, Lubbock, Texas. The Research Coordinating Unit, Texas Education Agency, coordinates all program improvement activities.

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Rosemary West, Graduate Research Assistant, was instrumental in developing the copy for this publication.

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List of Learning Objectives

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Introduction

Administration of child care programs includes both program and business management. Program management refers to the planning and implementation of the child care program. Program management includes topics such as site selection and curriculum development. Business management of a child care program includes attention to regulations and other legal concerns, personnel management, and finances. Certain general competencies, such as the ability to plan, apply to both areas. The purpose of this manual is to expose you to the general competencies and business management aspects of child care program administration.

Administration of Child Care Programs: Business Management is a manual designed to guide you as you learn about managing a child care business. The experiences in each unit are designed for use with your course on child care program administration. The laboratory (lab) experiences require you to observe and participate in various aspects of child care program administration.

The manual is divided into four units plus a glossary and bibliography. Each unit includes: Performance Objectives, An Overview, and Lab Experiences. The first page of the unit lists the performance objectives. The objectives list what you should be able to do after you finish the unit. The overview gives information on the unit topic. At the end of the overview several books are listed. Read these references for more information.

The lab experiences provide opportunities for you to observe and participate in activities related to the unit topic. Observation lab experiences require you to observe the administrative activities of the director or the program. Participation lab experiences require you to plan activities and work with a director or program on some aspect related to business management. Each unit contains self-evaluation forms for you to use in evaluating your own participation.

Administration of Child Care Programs: Business Management is also a workbook. Write your descriptions of the lab experiences on the report forms in the manual. These lab experience reports may be turned in to your instructor for evaluation and feedback. This manual will assist you in gaining knowledge, skills, and positive attitudes about the business management aspect of child care program administration. The classroom learning experiences provided by your instructor and your reading assignments will also help you become a competent administrator.

Guidelines for a Successful Lab Experience

You and your instructor will work together to decide which laboratory (lab) experiences you will do in each unit. Some courses may allow enough time for you to complete all of the lab experiences. Whichever activities you do, the following guidelines will help you have successful lab experiences.

1. *Always read the unit overview and assigned readings.* You will need an understanding of the topic before you begin your observation and participation experiences.

2. *Notice the learning objective of each lab experience before beginning the experience.* The learning objective tells you the purpose of the lab experience. Reaching this learning objective will help you achieve one of the performance objectives at the beginning of the unit.

3. *Read and follow the directions for each lab experience carefully.* When you have completed the experience, answer the key questions for the lab experience.

4. *Plan ahead.* Work with your course instructor to plan which lab experiences you will complete and where they will be carried out. Work also with the director of the center where you will be carrying out your lab assignments. Together, plan the date and time. Get both your instructor's and the director's approval for the lab experience you are planning. Be sure that both your instructor and the director know what you will be doing each time you visit.

5. *Be reliable.* If you are scheduled to be at the child care center to participate in an administrative activity, be sure to arrive on time and follow through with your plans. Most experiences will take about 60 minutes unless otherwise specified.

6. *If you are already a child care program director, you may be able to complete some of the experiences in your own center.* Check with your instructor.

Performance Objectives General Competencies Unit I

Functions of Management

- Determine the functions of management.
- Demonstrate the ability to plan.
- Demonstrate effective decision-making skills.
- Demonstrate effective organization skills.
- Demonstrate the ability to evaluate.
- Demonstrate the ability to communicate effectively.

Leadership

- Outline characteristics of an effective leadership style.
- Evaluate the impact of good work habits on leadership ability.
- Assess the importance of a professional demeanor and appearance.

Board of Directors

- Determine the role of the child care program administrator in relation to a board of directors.

An Overview

Effective administrators in any organization will have some basic competencies in common. This unit examines some general competencies that all administrators need as well as some competencies unique to child care programs. Every administrator manages. *Management* is a term which refers to the activities of the administrator to coordinate the activities of other people to achieve goals or results. Management involves five basic functions which are explored in the following overview. In addition the topics of leadership and working with a board of directors are covered. For more in-depth information, study the references listed at the end of the overview.

Functions of Management

Management involves five basic functions: planning, organizing, implementing, evaluating, and communicating. Child care program administrators will find themselves involved daily in each of these functions.

Planning. The thinking which occurs before action is taken is one way to define *planning.* Planning comes first. Planning involves decisions about what goals and objectives should be set and how the organization will go about achieving these goals and objectives. Another way to describe planning is that it answers the questions: what, why, when, where, how, and by whom?

Establishing or becoming aware of goals and objectives is the first step in planning. *Goals* are general statements that tell where the organization hopes to be at some point in the future. For example, an administrator of a new child care center may have the following goal: becoming a well-known and respected program by the end of two years. Goals are sometimes considered a finishing point. But in reality, the achievement of a goal usually sets in motion new activities calling for additional goals. For this reason, goals should be thought of as checkpoints along the way. As long as the child care program is in operation, there will be goals to strive toward.

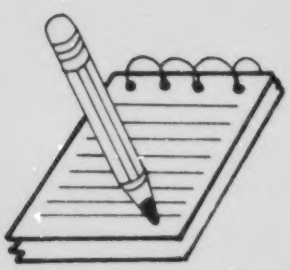
Objectives are more specific statements related to a goal. Objective statements tell the exact behavior or activity desired. The conditions under which the behavior or activity is to be performed and the degree to which the behavior or activity is to be achieved are also included. For example, the administrator who desires a well-known and respected program might have some of the following objectives. "Print at least six ads in the local newspaper advertising the child care program." "Apply for program evaluation from a national organization which promotes quality child care." "Hold an open house for members of the community to become familiar with the program." Such objectives clearly indicate the course of action to be taken. In addition, goals and objectives provide the basis for subsequent evaluation.

The second step involved in planning is assessing what *resources* are needed to achieve the stated objectives. Resources include not only materials but people, services, and time. If adequate resources are not available for accomplishing a certain objective, then the objective may need revision.

The third step in the planning process is determining what sequence of activities needs to occur. Charts, lists, and tables are helpful devices at this point. Milestone charts, Gantt charts, and precedent diagrams are examples of useful planning tools. These charts visually communicate the sequence of events and timetable for achievement of the objectives.

A skill closely associated with planning is *decision-making*. In planning, several courses of action might be considered. The effective manager carefully considers the strengths and weaknesses of each course and chooses the best. Decision-making is also involved in the formation of goals and objectives. In this way, decisions are made based on what is important at the time. For example, a child care administrator may have several projects which need to be done but not enough resources to conduct all the projects at the same time. In this case, a decision is made about what is the most important project. Resources are primarily available to the top priority project and secondarily for other projects. Decision-making skills play an important role in planning as well as in the other areas of management.

In sum, well-developed plans help ensure success. Through planning, unnecessary activities or mistakes can be avoided, saving valuable resources. Following the three steps in planning—setting goals and objectives, assessing resources, and determining the sequence of activities—along with wise decisions sets the stage for organization.



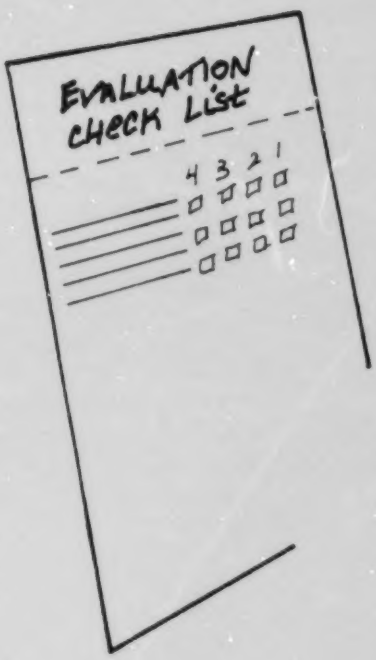
Organization. In management terms, the organization function refers to establishing lines of authority and communication, delegating tasks, and motivating employees. People are the main focus.

Lines of authority and communication are often illustrated in an *organizational chart.* Such charts show the position of each employee in the organization and to whom they report. Most child care programs are headed by a director. More information about personnel organization can be found in Unit III.

Delegating tasks means assigning job responsibilities. Tasks to be performed were indentified in the planning stage. At this point, the responsibility for performing those tasks is assigned to members of the organization.

Often directors of child care programs find that they are performing a great many tasks themselves. One management principle advises a manager not to perform any task which could just as easily be done by an employee. In other words, the directors' most efficient use of time is to supervise the work of others, not do the work themselves. However, all child care program directors should be prepared to perform most of the jobs at the center when necessary.

The degree to which jobs are successfully performed is largely dependent on *motivation.* Motivation might be described as the energy which causes people to perform their assigned tasks to the best of their ability. Managers can motivate employees in many ways. When employees are involved in the planning and organizing processes and are familiar with the goals and objectives, they are more likely to be motivated. Communication plays a key role. Once the people involved have their assigned tasks and are properly motivated, plans are ready for implementation.



Implementation. Putting a plan into action and ensuring progress is known as *implementation.* Managers direct the activities of those employees assigned to a particular project or job. Once activities are in motion the manager should obtain feedback from employees about their work. In this way changes can be made when necessary. The ongoing communication between managers and employees leads to evaluation.

Evaluation. Evaluation answers the questions: "To what degree have the objectives been reached?" "How well have tasks been performed?" "How well do we measure up to our goals?" The basis for evaluation comes from the goals and objectives established in the planning stage.

Evaluation can occur in different forms and at different times in a child care program. Budgets are evaluated monthly and annually. The job performance of each employee is evaluated on a regular basis. Evaluation can be formal or informal. A caregiver may be observed by the director using a detailed check list of performance standards. This is an example of formal evaluation. Informally, a director might give some positive feedback to a caregiver about a task well done. In either case, records should be kept of the results of periodic evaluation efforts.

Evaluations should result in improved performance or a modification in plans. In this way, evaluating leads back to planning.

Communication. The first four management functions—planning, organizing, implementing, and evaluating—might be four points around a circle. The management function of communication is the line between each of these points. In other words, communication connects the other management functions together.

Communication is a process whereby information is shared. Between two people messages are sent and received both verbally and nonverbally. A director may tell the staff about a new policy. Parents might be informed about a new fee scale in a memo. A caregiver might communicate acceptance when hugging a child.

Some guidelines for effective communication are:
- Think first.
- Choose words carefully.
- Speak clearly.
- Be specific.
- Be positive.
- Encourage feedback.
- Be a good listener.
- Use touch wisely.
- Develop effective writing skills.
- Observe body language.

Leadership

Leadership is the ability to influence the behavior of others. Akin to motivation, leadership involves creating the desire in employees to work toward the organization's goals.

Most managers adopt a *leadership style* based on the working situation and their own personality. Some styles are more effective than others. For example, one leadership theory distinguishes between "task-oriented" and "people-oriented" styles. A child care program director might be more people-oriented than task-oriented. For this program director, problems with the budget might be more frustrating than problems with personnel. The most effective leaders tend to have a high regard for employees as well as the work to be done.

Managers with effective leadership styles are good models. Their commitment is displayed by good work habits. For example, the child care director arrives at the center on time, avoids unnecessary visiting, and takes care of personal business on personal time. Effective directors use good time management techniques.

Demeanor and appearance also have an impact on leadership effectiveness. This is especially true for child care program directors when meeting the public. Good manners and consideration for others set the tone for whatever business needs to be conducted. A neat, well-groomed appearance communicates the director's professionalism.

Effective leaders care about the work to be done and the people who do that work. They model good work habits and exhibit a professional appearance and demeanor. Employees willingly follow the guidance of managers with these leadership characteristics.

Board of Directors

Many types of child care programs are governed by a board of directors. The board is responsible for establishing the philosophy and goals of the center. In addition the board formulates policy and sees that the program operates under the state standards.

The child care program director reports to the board. In other words, the board represents the director's immediate supervisor. Some of the director's responsibilities to the board include:

- helping the board get organized,
- carrying out established policies,
- making regular reports to the board on center operations,
- preparing background information to help the board make decisions,
- making recommendations to the board about needed policy changes, and
- bringing serious problems to the attention of the board.

A good relationship with the board of directors is essential if the child care program is to be effective. The board of directors can be both an asset and a challenge to the director. Whenever a director has need, the board can provide advice and support. Times will arise, however, when the board adopts a course of action different from that recommended by the director. The director may feel frustrated at these times. But, the wisest reaction is to follow the directives of the board and continue to provide feedback.

Boards of directors and program administrators are continually involved in a learning process. As experience is gained over time, a mutually satisfying relationship should develop.

Summary

Child care program administrators are similar to managers in any business. They plan, organize, implement, evaluate, and communicate. Effective managers exhibit a leadership style which considers both the people and the tasks. These competencies are not acquired easily. Good managers work to improve their skills every day.

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Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 1

LEARNING OBJECTIVE

Classify a director's behaviors into the functions of management.

DIRECTIONS

1. Arrange to observe a director at work for about two hours. [NOTE: Choose a director who is comfortable being observed. Tell the director the purpose of your observation. The director may need to plan for your visit. If the director becomes involved in confidential matters, be ready to step out for a few minutes. Ask the director to give you a signal should this happen.]
2. While observing keep a running record of the activities of the director. Record observed behaviors only.
3. Answer the questions below after completing your observation.

KEY QUESTIONS

Which activities could be classified as planning? Give at least two examples.

Which activities could be classified as organizing? Give at least two examples.

Which activities could be classified as implementing? Give at least two examples.

Which activities could be classified as evaluating? Give at least two examples.

What role did communication play? Describe examples of communication.

Describe how the functions of management (planning, organizing, implementing, evaluating, and communicating) overlapped.

Which function of management seemed to take most of the director's time? Why?

Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 2

LEARNING OBJECTIVE

Develop objectives to meet the goals of a director.

DIRECTIONS

1. Interview a director about the goals that she or he has for the child care program. You may use the sample interview questions below.
2. Make a list of at least five goals as stated.
3. Answer the questions below.

SAMPLE INTERVIEW QUESTIONS

What does your program hope to accomplish for the children enrolled?

Where would you like to see your program a year from now? five years from now?

What goals do you have for serving the community?

What goals do you have for staff development?

What other goals do you have for your program?

LIST OF FIVE GOALS AS STATED

KEY QUESTION

What objectives can you develop for five of the goals as given to you by the director? On the following page write at least two objectives for each goal. Be sure your objectives are written with three parts: a statement of what is to be done, the conditions under which the objective is to be achieved, and the degree to which the objective is to be achieved.

OBJECTIVES FOR FIVE GOALS

1. GOAL:

   Objective:

   Objective:

2. GOAL:

   Objective:

   Objective:

3. GOAL:

   Objective:

   Objective:

4. GOAL:

   Objective:

   Objective:

5. GOAL:

   Objective:

   Objective:

Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 3

LEARNING OBJECTIVE

Identify priorities of a director.

DIRECTIONS

1. Arrange to observe a director at work for at least two hours.
2. While observing keep a running record of the activities of the director. Record observed behaviors only.
3. Note especially behaviors which tell you what value the director places on a particular activity. For example, note how long a director spends on a particular task.
4. Ask the director to write down for you, in order of importance, the top three priorities during the time you observed. Place this slip of paper in an envelope and do not read it until later.
5. Answer the questions below.

KEY QUESTIONS

Based on your observations, make some inferences about the director's priorities. In other words, what was important to the director during the time you observed? List the director's top three priorities. Give reasons why you choose these priorities. (Do not open the envelope yet!)

Priority #1:

Reasoning:

Priority #2:

Reasoning:

Priority #3:

Reasoning:

Open the envelope with the director's list of priorities. List them in the space below.

Priority #1:

Priority #2:

Priority #3:

How are the lists of priorities similar?

How are the lists of priorities different?

Did the director's behaviors reflect his or her priorities as stated?

When priorities and behaviors do not agree, what should be done?

Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 4

LEARNING OBJECTIVE

Analyze the decision-making skills of a director.

DIRECTIONS

1. Arrange to observe a director at work for at least two hours. [NOTE: Choose a director who is comfortable being observed. Tell the director the purpose of your observation. The director may need to plan for your visit. If the director becomes involved in confidental matters, be ready to step out for a few minutes. Ask the director to give you a signal should this happen.]
2. While observing, note instances in which decisions had to be made. Use the space below to record your observations.
3. Review references on decision-making skills so that you will know what to watch for.
4. Answer the questions on the following page.

OBSERVATIONS

Example #1:

Example #2:

Example #3:

Example #4:

Example #5:

KEY QUESTIONS

Based on your observations, describe the director's general approach to decision-making.

Did the director have a more difficult time making some types of decisions than others? If so, describe.

Did the director postpone making a decision until a later time? If so, explain why this was done.

Could some of the decisions made by the director have been made by another staff person? Explain.

Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 5

LEARNING OBJECTIVE

Use planning skills and tools to plan a project in cooperation with a director.

DIRECTIONS

1. Learn about an upcoming event or project at a child care center. Ask the director if you might assist in the planning stage.
2. Review your class notes and references on planning.
3. Use some of the planning tools on the following pages or other techniques such as precedent diagrams.
4. Work with the director to plan the event or project using your planning skills and tools.
5. Use the space below to record information about your experience.
6. Answer the questions on the following page.

PLAN

Describe the event or project that you planned with the director. What were the goals and objectives? How often did you meet? What kinds of arrangements had to be made? What personnel were involved? How were resources evaluated?

KEY QUESTIONS

What planning tools did you use? (Attach these forms to the lab experience for evaluation purposes.)

Evaluate your experience in using each of the forms. In other words, did the forms help?

Resource Assessment Worksheet:

Milestone Chart:

Gantt Chart:

Precedent Diagram:

Evaluate yourself as a planner. What things did you do well? What things were challenging for you and why? What "lessons" have you learned about planning?

Resource Assessment Worksheet:
A PLANNING TOOL

OBJECTIVE:	
Personnel Needed	Tasks to Be Done
Equipment Needs	Costs
Materials or Supplies	Costs
Space or Facilities	Costs
Support Services	Costs

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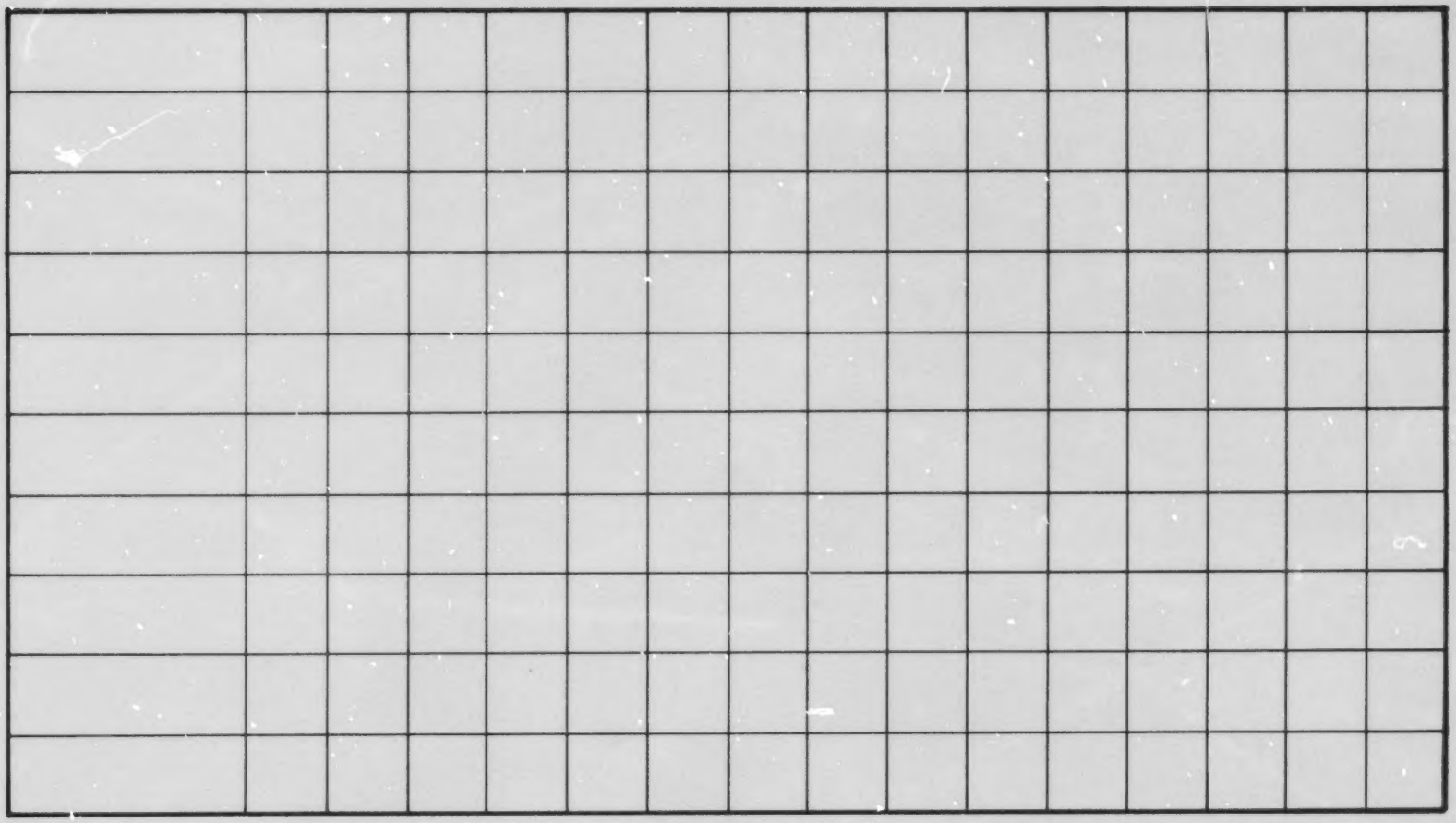
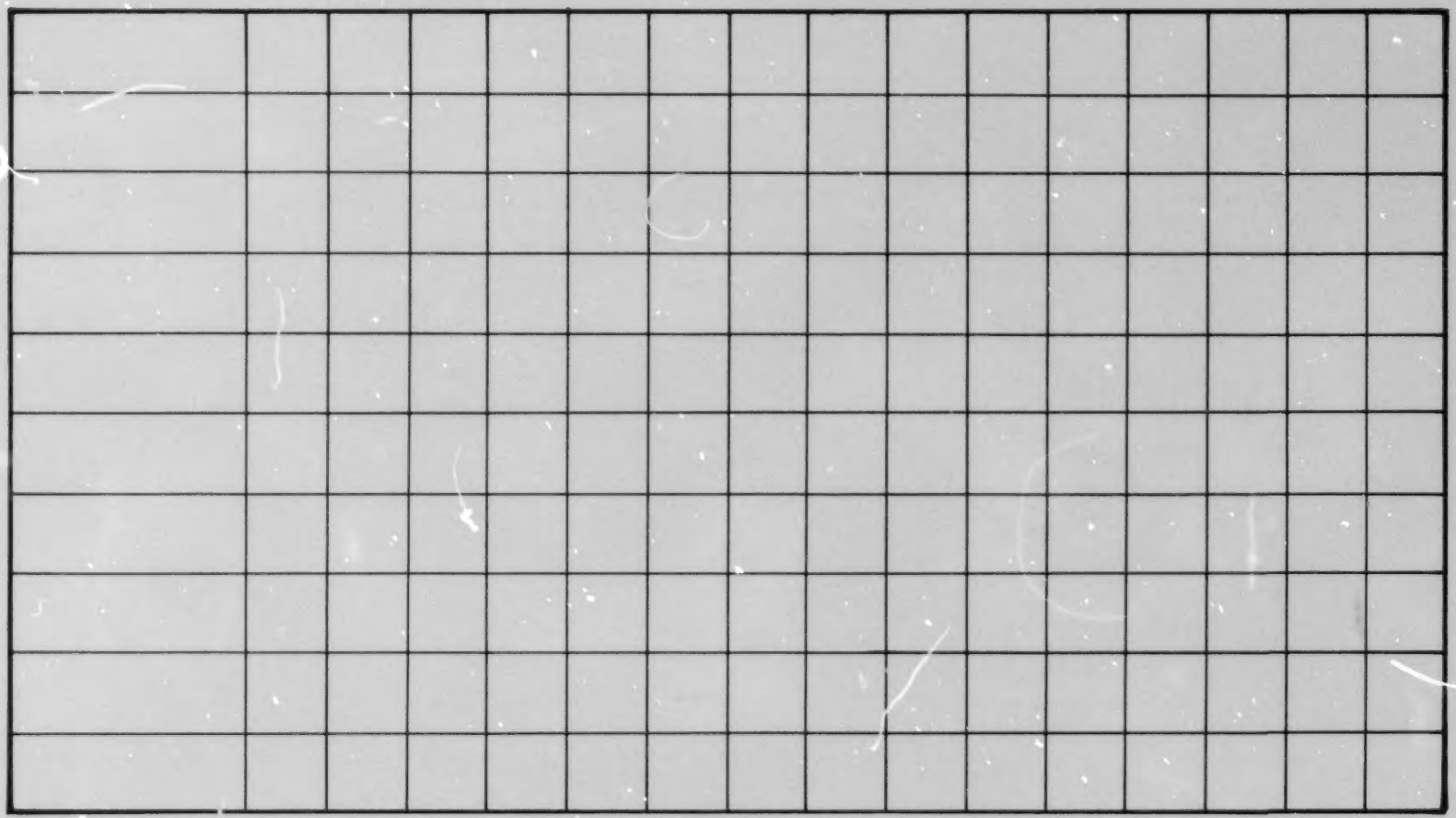
Milestone Chart: A PLANNING TOOL



Project Title:

Gantt Chart: A PLANNING TOOL

Activities Dates



Project Title:

Student's Name: _____ Date: _____
Course: _____

LAB EXPERIENCE 6

LEARNING OBJECTIVE

Identify staff motivators.

DIRECTIONS

1. Interview at least three child care center staff members. You might interview caregivers, kitchen staff, or clerical staff.
2. Ask interview questions as listed below.
3. Record staff member's answers to the questions in the space for interview responses.
4. Answer questions on the following page.

INTERVIEW QUESTIONS

Why do you choose to work in the child care field?

What makes you want to do your best at a particular task?

What discourages you from doing your best?

INTERVIEW RESPONSES

Staff Member #1: Position Held: _____

Staff Member #2: Position Held: _____

Staff Member #3: Position Held: _____

KEY QUESTIONS

For each staff member interviewed, analyze motivators. What things could be labeled as maintenance factors or extrinsic motivators? What things could be labeled as motivational factors or intrinsic motivators?

Staff Member #1: Etrinsic motivators

Intrinsic motivators

Staff Member #2: Extrinsic motivators

Intrinsic motivators

Staff Member #3: Extrinsic motivators

Intrinsic motivators

Do you think the type of position held would make a difference in the kinds of things that are motivational? Why?

Analyze those factors which are discouraging to employees in terms of Maslow's Hierarchy of Human Needs. In other words, what things have to do with physiological needs, safety needs, social needs, esteem needs, and self-actualization needs?

Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 7

LEARNING OBJECTIVE

Conduct an evaluation using the critical incident technique.

DIRECTIONS

1. Visit with a director to find out what aspect of the child care program needs some evaluation. For example, the food service, after school program, a workshop, or parents' satisfaction might need some evaluation.
2. Use the critical incident evaluation technique you learned about in class.
3. Answer the questions below.

KEY QUESTIONS

What was evaluated?

What kind of questions were asked to collect the critical incidents?

Analyze the responses from the persons surveyed. What do these responses tell you about the aspect of the program evaluated?

Based on your analysis, what recommendations could you give to the director?

Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 8

LEARNING OBJECTIVE

Conduct a staff or parent meeting on the art of communication.

DIRECTIONS

1. Arrange to conduct a staff or parent meeting on communication skills.
2. Review class notes and references to decide what communication techniques you would like to share.
3. Use your planning skills to plan the meeting.
4. Have your instructor or the center director review your plan.
5. Answer the questions below.

KEY QUESTIONS

List the objectives of your meeting.

Briefly describe your plan.

What communication techniques did you cover? Explain why you chose to share these techniques.

Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 9

LEARNING OBJECTIVE

Analyze the leadership style of a director.

DIRECTIONS

1. Arrange to observe a director for about half a day.
2. While observing keep a running record of the activities of the director. Record observed behaviors only.
3. Observe for evidence of leadership style: authoritarian, democratic, and laissez-faire. Review class notes or references.
4. Answer the questions below.

KEY QUESTIONS

What examples of an authoritarian style did you observe?

What examples of a democratic style did you observe?

What examples of a laissez-faire style did you observe?

Overall, what style does this director have? Why?

How did other employees respond to this director's leadership style?

Do you feel that the director's leadership style is effective? Why?

If you had been the director, how would you have handled the various situations that you observed?

What type of leadership style do you feel you have? Give reasons for your answer.

Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 10

LEARNING OBJECTIVE

Describe a board of directors meeting.

DIRECTIONS

1. Arrange to observe a board of directors meeting. You may only be able to observe part of the meeting.
2. Keep a record of what you see happening.
3. If possible, obtain a copy of the agenda.
4. Answer the questions below.

KEY QUESTIONS

Briefly outline what you observed. Attach the agenda if possible.

Who were the members present?

How was the meeting conducted? In other words, who conducted the meeting, how was the meeting begun, etc.?

Describe the tone of the meeting. Was it relaxed? formal? tense?

If you observed members presenting different sides of an issue, how did they handle this?

In your opinion, what relationship does this board have to the center director? Why do you feel this way?

Student's Name: _____ Date: _____
Course: _____

LAB EXPERIENCE 11

LEARNING OBJECTIVE

Collect and present information to a board of directors.

DIRECTIONS

1. Find out from the chairman of the board if there is an upcoming issue which needs additional research. For example, if the board is considering remodeling the playground, they would need all the information they could get on the design, cost, and practicalness of outdoor play spaces. (NOTE: Before contacting a member of the board, consult with the center director on the best procedure for doing this.)
2. Research and collect information on the topic chosen.
3. Organize your information and plan your presentation. Ask the director or your instructor to review your plan.
4. Make your presentation to the board.
5. Answer the questions below.

KEY QUESTIONS

What topic were you asked to research? Why did the board need this information?

Describe how you went about collecting information.

Briefly outline your presentation.

How will this information help the board in decision-making?

SELF-EVALUATION FOR LABORATORY EXPERIENCES

Name of Student: _____ Date: _____

Course Instructor: _____ Course: _____

Lab Experience: _____

Briefly describe the events of your experience.

Answer the following questions.	Yes	No	N/A
1. Did I read the unit overview and assigned readings?	☐	☐	☐
2. Did I read the lab experience carefully before beginning?	☐	☐	☐
3. Did I follow the directions?	☐	☐	☐
4. Did I arrive on time as planned?	☐	☐	☐
5. Were my materials or equipment ready?	☐	☐	☐
6. Did I know the assignment well enough to carry it out without referring to notes?	☐	☐	☐
7. Did I introduce myself to the caregiver and children?	☐	☐	☐
8. Did I achieve the learning objective for the lab experience?	☐	☐	☐
9. Were my personal goals for the experience achieved?	☐	☐	☐

Describe what you feel you accomplished as a result of this experience.

How could you improve your performance?

PARTICIPATION EVALUATION

Name of Student Evaluated: _____ Date: _____
Course: _____

Name of Instructor Evaluating: _____

Lab Activity: _____

Setting for the Evaluation: _____

Description of the Student's Performance:

EVALUATION CHECK LIST

General:	Superior	Good	Fair	Poor	N/A
Planning	☐	☐	☐	☐	☐
Following directions	☐	☐	☐	☐	☐
Carrying out the plan	☐	☐	☐	☐	☐
Use of materials	☐	☐	☐	☐	☐
Professional demeanor	☐	☐	☐	☐	☐
Use of language	☐	☐	☐	☐	☐
Listening skills	☐	☐	☐	☐	☐
Product developed	☐	☐	☐	☐	☐
*Specific**					
_____	☐	☐	☐	☐	☐
_____	☐	☐	☐	☐	☐
_____	☐	☐	☐	☐	☐
_____	☐	☐	☐	☐	☐

COMMENTS

*The instructor will fill in specific behaviors to be observed or product to be evaluated based on the lab experience. This should be done before the student is observed.

Performance Objectives

Regulations and Legal Concerns Unit II

Regulations

- Become familiar with state licensing and funding agency regulations for child care programs.
- Identify local health and safety regulations which apply to child care programs.
- Explain regulations concerning the legal structure of a child care program.
- Summarize regulations which concern an employer in a child care program.

Legal Concerns

- Analyze a child care program's potential for liability.
- Develop guidelines to protect a child care program from liability.
- Discuss the provision of adequate insurance coverage.
- Determine how contracts are made with companies and individuals for services.
- Develop procedures for recovering deliquent fees.
- Establish guidelines for working with parents, children, and the court in child custody disputes, child abuse cases, or other litigations.
- Develop guidelines for selecting and working with legal counsel.

An Overview

Child care programs, like any business, are affected by regulations and legal concerns. *Regulations* are requirements imposed by various local, state, and federal agencies. For example, most states require that child care programs be licensed. To become licensed, certain regulations must be met. Regulations are designed to protect individuals and businesses and to ensure fair practices. Other *legal concerns* range from protecting the child care program from liability to selecting and working with legal counsel. These and other topics are briefly reviewed below. For more information, study the references listed at the end of the overview.

Regulations

Child care is a highly regulated business. In other words, child care programs must follow a variety of rules in order to operate legally. Two basic categories of regulations can be identified: 1) regulations specific to child care, and 2) regulations which govern businesses in general. Directors of child care programs must know about and comply with all regulations affecting their programs. Regulations change frequently so directors need to stay current.

Regulations Specific to Child Care. Regulations specific to child care come from a variety of sources. At the state level, *licensing* of the child care program is usually required. To obtain a license, a program must meet certain minimum standards. (Remember that compliance with minimum standards is no guarantee of quality.) The licensing standards are usually organized into sections. Each section lists the specific requirements. Typically the sections cover: organization and administration, child-staff ratios, staff qualifications, buildings and grounds, health and safety, and program.

A state agency, such as a department of education or human resources, is usually responsible for issuing licenses. In addition, the agency may monitor licensed programs to be sure that child care programs continue to comply. The licensing agency also has the power to deny or revoke a license if regulations are not followed.

Licensing regulations are serious business. Directors must know thoroughly their state's standards. The responsibility for compliance usually rests on the director's shoulders.

Each city and county has its own regulations which apply to child care programs. Normally, a child care program must meet *fire, health, sanitation, building safety,* and *zoning regulations*. Often different agencies are responbible for each of these. A child care program must be inspected to ensure compliance. Directors can find out from a licensing representative where to go for information on local regulations.

If a program receives funds from a funding agency, it must meet the *standards established by the funding agency* as well as state and local standards. Some child care programs, for example, receive funds from the federal government. Regulations governing these programs are intended not only to protect children but to provide quality child care.

Regulations for Businesses in General. All businesses are governed by regulations which concern their 1) legal structure, and 2) role as an employer. Though other categories of regulations may apply, only these two topics are reviewed here.

Legal Structure. The decision of what type of *legal structure* to adopt is a major one. Three basic categories are recognized in the law:

- sole proprietorship,
- partnership, and
- corporation.

The decision about legal structure is made after considering the advantages and disadvantages of each type along with the particular situation. *Sole proprietorship* refers to a business owned by an individual. One advantage of sole proprietorship is the ease with which decisions can be made. A disadvantage is the greater potential for *liability*. In other words, if anything goes wrong the individual owner is personally responsible. In a *partnership*, two or more individuals agree to operate a business. Partnerships share many of the same advantages and disadvantages as the sole proprietorship structure. The potential for liability is shared equally by both partners. Even when one partner acts without knowledge of the other, both can be held accountable.

The *corporation* is the most complex legal structure but its advantages make it a desirable structure for child care programs. A corporation is a legal entity separate from the individuals who form it. For this reason, personal liability is greatly minimized. If one or more of the key persons withdraws, the corporation continues to exist.

To form a corporation, a number of legal documents must be submitted to various state and federal agencies. If the corporation is to be a not-for-profit organization, basically four procedures are involved. First, the *articles of incorporation* are written. The format varies from state to state but usually includes: a statement of purpose, an explanation of the powers of the organization, and a list of members. The second procedure is the development of a set of *by-laws* which spell out how the organization will be run. The third procedure involves a meeting of the members who officially sign the articles of incorporation and vote to accept the by-laws. The fourth and final procedure involves submitting the articles and by-laws to the appropriate state agency. The not-for-profit corporation can then apply for tax exempt status.

Regulations exist to govern each type of legal structure. For example, the owner of a sole proprietorship is required to file a *True Name Certificate.* The corporation is required to have an annual audit and submit a financial report to the appropriate state agency. Directors need to be aware of the legal structure of their child care program not only to know which regulations to follow but also to know how to protect the program from liability.

Role as Employer. A child care business employer is responsible for employee's social security and income tax deductions, state unemployment insurance, and worker's compensation insurance. Several laws affect how employers can hire and dismiss employees. More about this is found in Unit III, Personnel.

Social security or *FICA* (Federal Insurance Contributions Act) is paid equally by the employer and employee. The employee's portion is deducted from each paycheck. This amount along with an equal amount from the employer is deposited by the employer in a special account. Four times a year, the employer pays the government all the deductions for that quarter.

Employers are also required to keep on file a *Withholding Exemption Certificate* form from each new employee. The employee states how many exemptions are to be claimed. Based on this information and a tax table, the employer figures how much income tax is to be withheld from each employee's check. This amount is paid quarterly to the Internal Revenue Service.

State unemployment insurance is required for all profit-making businesses. The employer's contribution or premiums are used to make payments to former employees who file for unemployment benefits. In some states, not-for-profit corporations can opt not to pay premiums. Instead, they pay the actual cost of

claims filed by their former employees. If only a few claims are expected, a not-for-profit corporation can save money in the long run.

Worker's compensation insurance is required in all states. This form of insurance protects the employee who might be injured on the job. It pays for all medical bills and loss of salary until the employee is able to return to work. The rates are usually established by the state but the insurance can be purchased through most insurance companies.

Summary. To be successful in a child care business, whether profit or not-for-profit, a director needs to be thoroughly aware of all regulations or laws affecting the child care program. To be careless of this matter can destroy a business and place the director in legal trouble.

Legal Concerns

In addition to regulations, a number of other legal concerns need a director's attention. Perhaps the biggest concern is how to protect the child care program and all the people involved from liability. The director needs to know the program's potential for liability. Then several measures can be taken, such as the purchase of insurance.

Another concern involves contracts. The director contracts with suppliers for the purchase of supplies, with parents for fees, and with employees for work to be done, to name but a few kinds of contracts. A director needs to understand the nature of contracts in order to protect the interests of the program.

Occasionally, a director becomes involved in a court case such as a child custody dispute. Knowledge of the legal system is helpful, but often a lawyer's advice is needed. When seeking legal counsel, a director wants to find a lawyer who understands the child care business.

Liability. Liability means being legally, hence financially, responsible for any wrongdoing. Every business tries to protect itself from liability and the resulting financial consequences. The director or board of directors needs to analyze the child care program's potential for liability and how much it could cost.

An understanding of a few basic concepts is in order. Who is held liable depends on the legal structure of the organization, the legal relationships involved in an incident of wrongdoing, and the types of legal responsibilities involved. With these basic concepts in mind, a director can see where the potential for liability exists and how to protect the program.

First, the *legal structure* plays a role in determining who can be held liable. In the sole proprietorship, the individual who owns the business is fully liable for any wrongdoing. It would be possible for a child care program to be sued for damages well beyond the financial resources of the business. In this case, all of the owner's personal assets could be taken to pay the damages. In the corporate structure, the corporation is usually liable, not the individuals personally. However, in some cases it is possible to "pierce the corporate veil" when the board or one of its members has been grossly negligent.

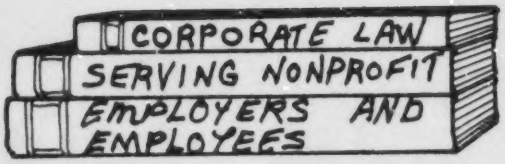
Second, the case of who is held liable is determined by the *legal relationship* involved. The law names three basic legal relationships:

- principal and agent,
- employer and independent contractor, and
- master and servant.

The principal and agent relationship refers to a third person (agent) who makes contracts for the principal. Usually the director acts as the agent in the relationship to the board of directors (principal). The employer and independent contractor refers to the relationship, for example, between a director and an accountant or plumber. The master and servant relationship is the legal name for the employer and employee relationship.

Depending on the legal relationship, liability can be placed on an individual employee, the employer, or the corporation. An employee is held liable if an act of neglect is committed outside the "scope of employment." Both the employer and employee could be liable if the act of negligence is committed within the course of an employee's regular job duties. For example, a caregiver could negligently give the wrong medication to a child allergic to that medication. The caregiver was acting within the normal range of duties, hence both the employer and employee can be liable. If, however, it was the kitchen helper who gave the medication to the wrong child without knowledge of the employer, the kitchen helper is liable. In this case, the kitchen helper was acting outside the scope of employment. The board of directors could be held liable if it was found that no job descriptions existed to guide employees in giving medication properly.

In the case of the employer and the independent contractor, the employer cannot be held liable for the negligent acts (torts) of the contractor. For example, if it had been the educational consultant visiting the center who gave the wrong medication, the consultant would be liable.



Third, *legal responsibilities* involved must be considered before liability is determined. Legal responsibility can be either criminal or civil. Criminal responsibility refers to the state's statutory criminal laws. Civil responsibility refers to either contract

liability, tort liability, or product liability. A *tort* is something that might be called a "civil wrong." In the child care center, a tort might be the act of negligence of a caregiver giving the wrong medication to a child. In this case, parents could sue for damages.

From this discussion, it can be seen where some of the potential for liability exists. Other information, not covered here, can be found in the references or from persons knowledgeable in this area. Also, each situation is different. The director and board need to examine carefully their individual situation. Calling on experts, such as a lawyer or representative of the Small Business Administration, is a wise action. A careful study of the program's potential for liability should be made.

Protection from liability. Several actions can be taken to protect a child care program from liability. Job descriptions, personnel policies, parent-provider contracts, and safety regulations help protect the program. However, adequate insurance coverage is one of the best protections.

The examination for liability potential will point out areas of high risk and amounts of potential loss. In the areas where risk is high and potential loss is high, liability insurance is a must. For example, if children are frequently transported in cars for field trips, adequate auto insurance is essential. Several kinds of liability insurance can be purchased to protect a child care program from financial loss.

General liability insurance is designed to protect the program from loss due to neglect (a tort). Policies normally cover bodily injury, property damage, emergency medical expenses, and legal costs which might result. For example, if a caregiver left the room unattended for a few minutes and during that time a child was injured, the caregiver was being negligent. Liability insurance could cover the costs involved. Care should be taken to cover members of the board of directors in any general liability insurance policy.

Other kinds of liability insurance can be purchased to protect a program in areas that a general liability policy does not. *Personal injury liability insurance* would pay for damages resulting from a lawsuit for libel or slander (both torts). *Fire legal liability* applies to programs which rent or lease a building. If a staff person caused a fire, the building owner's insurance company would try to recover the costs from the person who caused the fire. Fire legal liability insurance would pay the insurance company, thus protecting the negligent employee.

If a child care program owns motor vehicles, these should be fully insured through *auto insurance*. The potential risk and cost of damages from auto accidents is high. Several types of coverage are available. Protection ranges from bodily injury liability to uninsured motorist protection. An insurance representative can help analyze the program's needs for auto insurance.

Attention should also be given to insurance coverage for parents, volunteers, and staff who use their own cars to transport children. Care should be taken to see that all drivers and their cars are adequately covered by their policies. It is even advisable for them to carry more insurance than they normally would if children were not involved. The child care program can also purchase forms of insurance to protect itself when cars not owned by the center are used.

Other forms of liability insurance exist for other kinds of potential liabilities. The decision on the type and amount of coverage depends on the program's potential for liability and its financial resources. Directors should remember, however, that no matter how much is done to protect the child care program from liability, there are no guarantees.

Other Types of Insurance. Property insurance and employees' health insurance are two other types of insurance which might be considered. *Property insurance* can be purchased to protect a child care program from loss due to fire or other disasters. Two categories of property insurance are *named perils* and *all risk*. For example, a building might be insured for a named peril such as fire or flood. Or, a building might be insured for all risks except certain ones named on the policy. In addition to insurance on a building, the contents of the building can be insured. This is known as *personal property insurance*.

Once established, a program director or board might consider *group health insurance*. Group health insurance is an important benefit for employees. The cost to employees in a group plan is much less than health insurance purchased individually. Employers might pay the total cost, or the cost might be shared by both the employee and employer.

When considering the purchase of any kind of insurance, it pays to shop around. A director might find a policy with low premiums but discover that the coverage is limited. Another policy might cost a little more but offer greater benefits.

Finding out about the insurance company and its representatives is also wise. An insurance representative that a director trusts can be a big help. When the time comes to file a claim, the director can expect the same good service that came with the purchase of the insurance.

Contracts. A contract is an agreement between two parties. A contract has three elements. First an offer is made by one party. Second, the other party accepts the offer. Third, something of value is agreed to be exchanged (called *the consideration*). A contract does not have to be written to be legally binding. For example, if a director orders fresh produce over the phone and the wholesaler agrees to send the order for a certain price, this is a contract. Neither do contracts have to

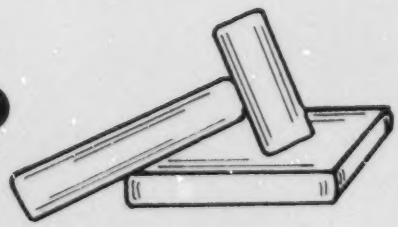
involve an exchange of money to be legally binding. However, because oral contracts are often difficult to prove, it is wise to get things in writing. When a contract is broken, this is called a *breach*. According to civil law, the party breaking the contract is liable and can be sued.

Directors of day care programs typically make contracts for the purchase of supplies, for services such as maintenance or janitorial, and for building leases. Contracts with parents are becoming more common. Some lawyers feel parent-provider contracts are essential. Such contracts spell out what is expected from both parties. For example, in a contract between parents and a child care program, the program agrees to be open certain hours and the parents agree to pay a certain fee each week. A sheet of rules or policies can be attached to the contract. These rules are also binding if mentioned in the contract. Some directors might be reluctant to ask parents to sign a contract. However, most parents are glad to do so when they understand that such an agreement protects them also.

Whether parents sign a contract or not, they are legally bound to pay fees for child care. Income from fees is the major source of funds for many child care programs. Directors need to be sure that fees are collected on time. Procedures should also be developed for recovering deliquent fees. Some recommended strategies include:

- collecting fees in advance,
- collecting an enrollment deposit,
- establishing penalties for late payments,
- contacting parents right away when they are late with fees,
- having a policy for stopping child care when fees are delinquent, and
- taking the case to small claims court.

Litigations. Occasionally a child care program director may become involved in a *litigation* or lawsuit. The director might be directly involved as one of the parties in a civil lawsuit. For example, a center without general liability insurance might be sued by a parent who slipped on a wet floor breaking a leg. Or, the director might be involved in suing a parent for delinquent fees in small claims court.



Indirectly, child care personnel can become involved in a child custody dispute or child abuse case. In the first situation, the director might be asked to release the child only to the parent who has custody. In the second situation, the director might be called in as a witness in a child abuse case. Either of these situations can be disturbing. Directors should be aware of the possibilities associated with lawsuits. A little advance thinking can help a director better handle the such situations.

Working with Lawyers. After reviewing the above information, it is clear that in many situations legal counsel is desirable. Not many lawyers specialize in the child care business. However, many lawyers specialize in small business or not-for-profit corporations.

When seeking a lawyer, directors should look for one with experience that is as closely related to their business as possible. Several lawyers should be interviewed. During these interviews, the director should clearly describe the kind of business or the particular problem involved. Then, the lawyer should be asked to describe how she or he might help and what it might cost. After several lawyers have been interviewed, the director can make a choice.

To work effectively with a lawyer, the director should be prepared for meetings and provide needed information. In return, the lawyer should keep the director posted on progress and make recommendations about what to do. The choice about accepting a lawyer's advice rests with the director. If a director finds that he or she is not satisfied, another lawyer should be chosen.

Lawyers are expensive but well worth the cost in many situations. If a program cannot afford to pay, there are community services in many cities which provide free legal aid. Some lawyers take a certain number of clients free of charge as a community service. A lawyer who serves on the board of directors of an incorporated child care program might also provide free services.

Summary

A child care program director has many responsibilities. Meeting local, state, and federal regulations is essential. Legal concerns such as liability, contracts, and litigations can be overwhelming. The overview presented here has *briefly* touched on these issues. Care should be taken to further investigate these topics as the director actually becomes involved in meeting regulations and other legal matters.

REFERENCES

Aikman, William F. *Day Care Legal Handbook: Legal Aspects of Organizing and Operating Day Care Programs.*

Sciarra, Dorothy J. and Dorsey, Anne G. *Developing and Administering a Child Care Center.*

Seigel, David and Goldman, Harold. *Successful Small Business Management.*

Student's Name: _____ Date: _____
Course: _____

LAB EXPERIENCE 12

LEARNING OBJECTIVE

Analyze a child care program's ability to meet state licensing standards.

DIRECTIONS

1. Using the form on the following page, develop a check list based on one section of your state's licensing standards.
2. Conduct an analysis of a child care center's ability to meet the standards listed on your check list.
3. Answer the questions below.

KEY QUESTIONS

What is the purpose of this section of the licensing standards?

Did you feel the requirements were reasonable? Explain why.

Were each of the items equally easy to check? Which ones were not as easily checked?

Explain how this type of check list could be used by a child care program director to monitor continuing compliance.

Licensing Standards Check List

Section of standards being evaluated: _____

Date checked: _____ Person checking: _____

Items to Be Checked	Compiles	Does Not Comply	Notes
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
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	☐	☐	
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	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	

Student's Name: _____ Date: _____
Course: _____

LAB EXPERIENCE 13

LEARNING OBJECTIVE

Analyze a child care program's ability to meet local regulations.

DIRECTIONS

1. Obtain a copy of local health, safety, sanitation, or building regulations which affect child care programs.
2. Study the regulations and prepare a check list using the form on the following page listing all items which apply to the child care program.
3. Conduct an inspection of the child care program using this check list.
4. Answer the questions below.

KEY QUESTIONS

What is the purpose of the local regulations?

Did you feel the requirements are reasonable? Explain why.

Were the items easily checked? Would an expert be required to evaluate compliance on some items? If so, which ones?

Explain how the local agency monitors compliance with the regulations. In other words, how often are inspections made? Who does the inspections?

What steps should be taken if a child care program is unable to comply with one of the regulations?

Local Regulations Check List

Regulations being monitored: _____

Date checked: _____ Person checking: _____

Items to Be Checked	Compiles	Does Not Comply	Notes
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
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	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	

Student's Name: _____ Date: _____
Course: _____

LAB EXPERIENCE 14

LEARNING OBJECTIVE

Interview a child care program director about legal concerns as an employer.

DIRECTIONS

1. Arrange to meet with a director of a child care program which employs several people.
2. Plan ahead of time the questions you would like to ask. Use some of the questions suggested below or ask some of your own questions about a director's responsibilities as an employer.
3. Record your interview on the following page.
4. Answer the questions below.

SAMPLE INTERVIEW QUESTIONS

What concerns you most about fair hiring and promotion practices?

How do you handle state unemployment insurance?

Have any of your former employees filed for state unemployment against your program?

Do you feel there are too many regulations governing employees or not enough? Why?

What responsibilities does an employer have for the employees?

What is your greatest legal concern as an employer?

KEY QUESTIONS

Based on this interview, what do you think are the director's major legal concerns as an employer?

Evaluate how the insights you have gained through this interview will affect you as an employer.

INTERVIEW RECORD

Person Interviewed: _____ Date: _____

Interviewer: _____ Topic: _____

Question:

Response:

Question:

Response:

Question:

Response:

Question:

Response:

Question:

Response:

Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 15

LEARNING OBJECTIVE

Analyze a child care program's potential for liability using a safety check list.

DIRECTIONS

1. Research references on safety in the child care environment.
2. Using the form on the following page, devise a check list. Note that the check list can be designated for items that are to be checked daily, monthly, or seasonally.
3. Conduct a safety check of the child care environment using the check list.
4. Answer the questions below.

KEY QUESTIONS

How do the items listed on the check list relate to the center's potential for liability?

Which items on the check list carry the highest risk if not safe?

Which items on the check list carry the highest potential for financial loss if an accident occurs?

How could the use of such a check list protect a child care program from liability? Give an example.

Explain how this type of check list could be used by a director to maintain safety in the child care center.

Safety Check List for Child Care Centers

Items on this list to be checked: _____ Daily _____ Monthly _____ Seasonally

Date checked: _____ Person checking: _____

Items to Be Checked	Safe	Unsafe	Notes
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	
	☐	☐	

Student's Name: _____ Date: _____
Course: _____

LAB EXPERIENCE 16

LEARNING OBJECTIVE

Shop for insurance for a child care program.

DIRECTIONS

1. Choose one of the following types of insurance to shop for: general liability, all risk building, or vehicle insurance. (NOTE: If you are already working as a child care program director, shop for any type of insurance which you feel would be most useful to you.)
2. Base your insurance needs on a child care program with which you are already familiar. For example, if you are going to shop for all risk building insurance, describe that facility to the insurance agent.
3. Contact at least two insurance agents. Explain to them your purpose. If they know that at some point in the future you plan to direct a child care program, they realize that you are a potential customer and will most likely be willing to help you.
4. Find out what types of policies are available for that type of insurance. Note the benefits, exemptions, premiums, etc.
5. Compile your information on the following page.
6. Answer the questions below.

KEY QUESTIONS

After comparing each of the policies, which one seems to be the best buy? Why?

Describe any difficulties or problems you had in shopping for insurance.

Evaluate the interview with one insurance agent. Did the insurance agent explain to you any items that you did not understand? Would you feel comfortable in buying insurance from this agent? Why?

SHOPPING FOR INSURANCE

Type of Insurance _____

Agents Interviewed: _____

_____

POLICY 1

POLICY 2

POLICY 3

POLICY 4

Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 17

LEARNING OBJECTIVE

Observe a session of a small claims court.

DIRECTIONS

1. Find out about the small claims court in your area. Arrange to observe the court in session.
2. As you observe, take notes on the events.
3. Answer the questions below.

KEY QUESTIONS

Describe the nature of the case. What was the plaintiff wanting from the defendant and why?

Describe the proceedings of the court. How did the court session begin? Who spoke first? What did the judge say?

How did the plaintiff present the case?

How did the defendant respond?

What was the ruling in the case? Did you feel that justice was done? Why?

Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 18

LEARNING OBJECTIVE

Observe testimony of witnesses in a civil suit.

DIRECTIONS

1. Make arrangements to observe a civil trial. Find out what cases are on the docket that involve a jury trial and are not appeals cases. (NOTE: Get together with your instructor for help in finding out what cases might be interesting for you to attend. Court rooms are public places so you should be able to observe most trials.) The docket lists what cases are due to come up on a certain day. Plan to arrive in the morning when the court first convenes and observe events as they take place.
2. Take notes on what you observe but pay special attention to the testimony of witnesses.
3. Answer the questions below.

KEY QUESTIONS

Briefly describe the nature of the case that you observed.

What kind of witnesses did you observe? What was the purpose of their testimony?

How did the opposing lawyer cross-examine the witnesses?

What was the reaction of the witnesses to cross-examination?

Based on your observation, how would you prepare yourself to testify as a witness?

SELF-EVALUATION FOR LABORATORY EXPERIENCES

Name of Student: _____ Date: _____

Course Instructor: _____ Course: _____

Lab Experience: _____

Briefly describe the events of your experience.

Answer the following questions.	Yes	No	N/A
1. Did I read the unit overview and assigned readings?	☐	☐	☐
2. Did I read the lab experience carefully before beginning?	☐	☐	☐
3. Did I follow the directions?	☐	☐	☐
4. Did I arrive on time as planned?	☐	☐	☐
5. Were my materials or equipment ready?	☐	☐	☐
6. Did I know the assignment well enough to carry it out without referring to notes?	☐	☐	☐
7. Did I introduce myself to the caregiver and children?	☐	☐	☐
8. Did I achieve the learning objective for the lab experience?	☐	☐	☐
9. Were my personal goals for the experience achieved?	☐	☐	☐

Describe what you feel you accomplished as a result of this experience.

How could you improve your performance?

PARTICIPATION EVALUATION

Name of Student Evaluated: _____ Date: _____
Course: _____

Name of Instructor Evaluating: _____

Lab Activity: _____

Setting for the Evaluation: _____

Description of the Student's Performance:

EVALUATION CHECK LIST

General:	Superior	Good	Fair	Poor	N/A
Planning	☐	☐	☐	☐	☐
Following directions	☐	☐	☐	☐	☐
Carrying out the plan	☐	☐	☐	☐	☐
Use of materials	☐	☐	☐	☐	☐
Professional demeanor	☐	☐	☐	☐	☐
Use of language	☐	☐	☐	☐	☐
Listening skills	☐	☐	☐	☐	☐
Product developed	☐	☐	☐	☐	☐
*Specific**					
_____	☐	☐	☐	☐	☐
_____	☐	☐	☐	☐	☐
_____	☐	☐	☐	☐	☐
_____	☐	☐	☐	☐	☐

COMMENTS

*The instructor will fill in specific behaviors to be observed or product to be evaluated based on the lab experience. This should be done before the student is observed.

Performance Objectives Personnel Unit III

Organizing

- Construct organizational charts showing the relationship and lines of communication among various staff positions.
- Develop comprehensive job descriptions for each type of job in the child care program.
- Determine qualifications for each type of job in the child care program.
- Determine appropriate employee policies.
- Arrange staff work schedules.

Acquiring and Dismissing

- Practice skills for hiring prospective employees.
- Plan an orientation program for new employees.
- Outline procedures to follow when dismissing employees.

Maintaining

- Conduct staff meetings.
- Practice conducting employee performance evaluations.
- Outline strategies for guiding employees as they work through problems with other employees, children, or parents.
- Explain how employees' records are established and maintained.

An Overview

Many factors affect the quality of a child care program. Personnel play a key role. The child care administrator is responsible for organizing, acquiring, and maintaining personnel. Organizational charts and job descriptions are useful tools in determining organizational structure. Acquiring personnel involves careful attention to the application and interview processes. Once in place, the director strives to guide staff (personnel) so that a warm and loving child care environment is created. These and other concerns about personnel are briefly reviewed below. For more information, study the references listed at the end of the overview.

Organizing

The organization of a staff is simplified by using organizational charts and job descriptions. These work together to help a director delegate responsibilities to make the program run smoothly. Organizational charts also indicate the lines of communication among employees.

The director or the center's board of directors will establish employee policies based on the needs and goals of the center and common labor practices. The director will arrange a schedule, based on child-staff ratios, which helps employees do their jobs at the right time and in a proper sequence. These parts of a director's job, properly done, will help make a program run smoothly.

Organizational Charts. As in any business, an *organizational chart* helps the director plan exact lines of communication and authority. An organizational chart depicts the structure of the organization in a graphic form. Specific patterns or types of organizational structures can be shown.

For example, some charts are vertical, others horizontal. *Vertical charts* indicate that all responsibility is delegated by the manager directly to each employee. *Horizontal charts* (often called departmentalized charts) indicate that specific areas have someone other than the director in a management role. For instance, a large child care program might have a director in charge of the infant and toddler program, a director for the preschool program, and still another for the after-school program. The center

director would disseminate information to each of the department directors. They, in turn, would pass the information to caregivers in their departments.

Organizational charts in child care programs show some of the following positions:
- director,
- assistant director,
- program coordinator,
- caregivers,
- secretary/bookkeeper, and
- cooks.

Caregivers may be broken down into teacher, assistant teacher, and teacher aide. In some cases, caregivers are assigned levels based on responsibility, years of experience, or merit. For example, caregivers may be designated at Level 1, 2, or 3, or as Caregiver I, II, or III.

Each position designated in the child care program should clearly fit into the organizational structure. The organizational chart shows each position with lines of communication and authority clearly drawn.

Job Descriptions. Accurate, yet flexible *job descriptions* are also of use to program directors and caregivers. A complete job description generally indicates the levels of education and experience necessary to acquire a job and the specific duties expected. Job descriptions can be very complex, but even a very simple format gives the necessary information.

One such format includes the following general areas:
- job title,
- education and experience required,
- daily duties,
- periodic duties,
- occasional duties, and
- a clause which states "other duties as assigned."

This final clause allows the director to assign additional duties in an emergency without the employee feeling that this is outside the job responsibilities.

Job descriptions can be used in several ways. For example, they can serve as a basis for writing a clear, yet concise advertisement for a newspaper ad. (When job descriptions are posted to advertise a position, the statement about being an "equal opportunity employer" should be included.) Job descriptions can be used as a basis for questions when interviewing prospective child care employees. Job descriptions are also useful as a guide in the evaluation of an employee's performance.

Qualifications. The state minimum standards (or funding agency guidelines) provide a basis for employee qualifications. However, the director, with help from the board of directors, may

establish higher qualifications. The goals and objectives of the child care program will influence what type of caregivers will be employed.

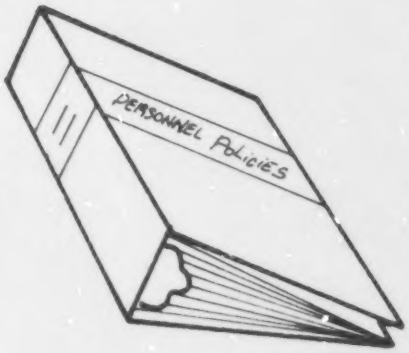
Statements of qualifications include the minimum level of education needed and years of work experience. Preferred or additional qualifications might also be included. In some cases, additional education can substitute for work experience or work experience can substitute for education. For example, the qualifications for a teacher of preschool children might read:

> High school graduation or equivalent plus two years of full-time work with preschool children.
>
> *or*
>
> Associate degree completed in child development or early childhood education. Degree program must have included a practicum or practice teaching.

Employee Policies. The board of directors or the owner/director of a child care program establishes employee policies. These generally fall into eight areas which include:

- salary or pay scale,
- employee benefits,
- professional education opportunities,
- leaves from work (sick leave, vacation, funerals, maternity leave, and religious holidays),
- probationary periods,
- health requirements,
- relief time during the working day, and
- complaint procedures.

In establishing employee policies, careful attention must be given to state and federal employment laws on labor practices. Some federal guidelines prohibit discrimination by age, sex, color, race, or religion, while others protect the health and safety of all employees.



The Fair Labor Standards Act (which applies to all child care programs whether private, profit, or not-for-profit) establishes minimum wage, overtime, record keeping requirements, and equal pay clauses. The act also states which employee benefits are optional. These include vacations, holidays, sick pay, breaks during the working day, extra pay for holiday work, or pay raises after a certain time on the job.

Many states have passed additional wage and hour legislation which affects businesses within that state. The department of labor in a state will have this information.

An excellent way to inform employees of policies is to distribute an employees' handbook. In some cases, employees are asked to sign a form which states that they have read the handbook and understand the operating policies of the program. This form is kept in the employees' files. In this way, the director has documentation that everyone working in the program knows what is expected.

Schedules. Planning the employees' work schedule in the child care program is a challenging task for directors. Many factors must be considered.

First, a director is concerned with meeting the minimum child-staff ratio established in the state minimum licensing standards. *Child-staff ratio* refers to the maximum number of children that can be cared for by one caregiver. The ratio differs depending on the age of the children in the group. For example, the ratio for infants under 12 months of age is one to five in the Texas minimum standards. This means that one caregiver can supervise up to five infants.

During certain times of the day, the ratio may be higher, according to some state standards. For example, at naptime, fewer staff members may be required.

With these factors in mind, the director can schedule employees' working hours. A chart showing the hours of the day across the top and a list of caregivers along the side is useful. In this way, the director can see when employees are working.

The schedule must also be flexible. Sometimes, unexpected events result in staff shortages. At these times, other employees' hours may need to be increased. When employees are sick, the director should call in substitutes. An up-to-date list of available substitutes is essential.

The child-staff ratio is the basis for employees' work schedules in a child care program. With careful planning and a little experience, most directors are able to adequately staff the child care program.

Summary. Directors will benefit from the time spent organizing a staff. It is the responsibility of the director to make the best possible use of employee time and provide the best care possible for children.

Acquiring and Dismissing

The child care program administrator is responsible for hiring and dismissing staff. The process of hiring involves announcing an opening, taking applications, interviewing, and selecting employees. New employees should receive an orientation to familiarize them with the program and their jobs.

Sometimes directors find it necessary to dismiss an employee. Policies about dismissal should be carefully established and carefully followed. Dismissal is a last resort. Every possible effort is made to resolve the situation before a dismissal becomes necessary.

Hiring. The announcement of a job vacancy should include a brief description, necessary qualifications, and information for contacting the center. Announcements can be made in local newspapers or posted on bulletin boards. Another good source for potential applicants is the local community/junior college or high school.

Written applications should be completed by all applicants. Personal information such as current address, social security number, education, and job history is given on the completed form. The applicant should list at least three references and should sign the application stating that all statements completed are truthful.

Based on the civil rights legislation of the past 20 years, some information must *not* be asked on an application form in case it might lead to discrimination in hiring. The following are questions which should not be asked:

- ethnic group membership,
- date of birth,
- marital status,
- ages of children,
- birthplace, and
- any reference to religion unless religious conviction or doctrine is vital to job description.

Some questions may be asked in special cases. If physical limitations may affect job performance an employer may ask about handicaps or illnesses in relation to a specific job task. In the child care field it may be necessary to know if the applicant is age 18 or older due to state licensing requirements.

Proficiency in a foreign language may be questioned if the second language is vital to the job description. It is not legal, however, to ask the applicant how the language was learned.

Some questions which cannot legally be asked of applicants may be asked of employees. A separate form for employee information should be completed after an applicant is hired. Such information should include:

- federal tax information,
- photograph of the employee, and
- birthplace and date.

References should always be checked. In Texas, the minimum standards require that three references be kept in the employee's personnel file. Information provided by references furthers the director's knowledge about the applicant.

If time permits, a director can make several contacts and select from prime candidates. In other situations, time may be short and the director selects the best available applicant to fill the position.

Orientation. After an employee is selected, an orientation period begins. Types of orientations vary from informal to very structured. Possible procedures may include a tour of the center, working with a caregiver, meeting other staff members, and a look at the employee handbook. New employees also need to be told about emergency procedures.

A *probationary* period is a wise policy to establish for new employees. This period of a set length of time allows the director to evaluate the employee's job performance. The employee is also able to evaluate job satisfaction. At the end of the probationary period the director is free to add the employee to permanent staff or recommend that the employee seek another type of work. Letting an employee go after a probationary period is different than dismissal later on in employment.

Dismissal. Sometimes, even after a probationary period, an employee must be dismissed. This is not an easy task for the director. A director should not be afraid to release an incompetent employee. However, dismissal should be done as a last resort. Great care must be taken to follow established procedures exactly.

Procedures for dismissing an employee should be established by the director/owner or board of directors. Written policy on dismissal should be given to each new employee. Some policies call for documentation of at least three instances of performance failure. After that time, the employee is dismissed.

Documentation, or written records, of an employee's performance is essential. The employee should be informed in private of serious performance failure. If dismissal is recommended, it should be no surprise to the employee.

In the child caregiving profession, however, there are instances when immediate dismissal is appropriate. For example, in Texas, if an employee is indicted for a felony or misdemeanor against any person or family, the employee is immediately removed from the staff. Physical abuse of children or theft might also be grounds for immediate dismissal.

Dismissing an employee is never a pleasant task. A director can find support from the board of directors by keeping them informed and requesting their approval of final action.

Maintaining

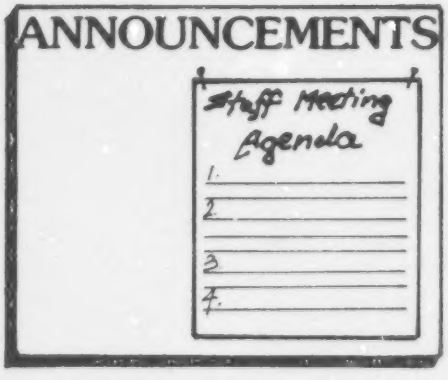
An efficient staff working together toward the goals of the program is the responsibility of the director. One means of developing efficiency and cooperation and dealing with staff problems is regular staff meetings.

Directors must also carry out employee evaluations, both formal and informal. Records of these evaluations may be included in the employee's records. The director, as required by state minimum standards, is required to keep confidential employee records. In any situation dealing with people, problems may occur. Keeping a working strategy for problem-solving is the responsibility of the director.

Staff Meetings. In order to maintain good rapport with staff, the director should schedule regular staff meetings. To conserve valuable time, it is important that meetings are brief, yet accomplish the tasks at hand. Planning is necessary.

Some suggestions which relate to meetings in general apply to child care program staff meetings. The director can adjust the physical environment to establish the style of a meeting. For example, one director wished to have a very informal meeting. The chairs were arranged in a circle and staff members were offered a cup of coffee as they entered the room. Another director wanted a formal meeting to cover a great deal of business in a short time. The chairs were lined up to face a chalkboard. On the chalkboard, the agenda was printed.

No matter what the meeting style, principles of organizing a meeting still apply. Caregivers should know in advance what information will be discussed. This will allow them to bring the proper materials. An agenda of some type should always be planned. In addition, it is wise to have someone take notes of what was actually discussed.



Sometimes, problems with children may be discussed at staff meetings. A word of caution about confidentiality is in order at these times. The director can help the staff stay on the business at hand and discourage needless gossip.

Employee Evaluation. To provide the best possible care for the children of the center, staff should be continually evaluated. Evaluations can encourage individual growth as well as improve performance. Whether evaluations are formal or informal, directors should help employees feel positive about evaluation.

Formal evaluations make use of written forms or check lists which can be devised by the director. Some forms might be found in references which list competencies for child caregivers. Informal evaluation can begin when the employee is new. A constant flow of daily feedback helps employees know how

they are doing. If most of the feedback is positive, employees are motivated to maintain a high level of performance.

Evaluations need not come from the director alone. Peer evaluations are useful. For example, two caregivers might team together to assess each others' use of positive guidance techniques. Self-evaluation in the form of a check list can also give an employee valuable feedback in a non-threatening way.

Whatever type of evaluation takes place, some kind of records should be kept in each employee's file. A series of evaluations taken over a period of time will often show how much an employee has improved.

Problem Solving. Whenever people are involved, human interaction at some point in time may lead to problems between people. The director is responsible to work through a strategy for problem solving to keep things running smoothly. There are six steps to problem solving. They are:

- identify and define the problem,
- analyze factors which cause the problem,
- explore solutions and alternatives,
- decide on a definite plan or strategy,
- evaluate the results, and
- make changes as indicated.

For example, the director of a child care program is in the midst of a problem. Lunch is being served late and this is making the afternoon scheduling difficult for everyone. The director goes through the steps of problem solving to arrive at a final solution. A goal of the center is to provide a nutritious meal for children at a set time. The real problem, as the director has observed, is that the cook and the cook's assistant seem to be doing a great deal of talking rather than preparing lunch. Caregivers are late bringing their children to the eating area since frequently the meals are not ready and the children become restless when they must wait in the lunchroom.

The director identifies the problem and talks to the workers in an informal setting. The cook, during this conversation, mentions that the oven seems to be heating things very slowly and that perhaps the thermostat should be checked. After the meeting, the director makes notes of the discussion for documentation purposes. The director then must look at all possible solutions. Checking the thermostat is one obvious solution. In the meantime, the director should talk to the cook and the cook's assistant about ways to plan meal times allowing for a slow oven. Another possible strategy is to help the caregivers develop effective transition activities so children do not become restless if they have to wait a few minutes.

By following the six-step problem solving strategy, a director working closely with the staff can come up with solutions to all sorts of people problems. If the first plan does not work, alternate solutions can be tried until a workable solution is found.

Employee Records. Accurate employee records must be kept. Much of this information is confidential and therefore kept by the director. A look at the state's minimum standards will tell a director what records need to be kept. Typically, the following items can be found in an employee's file:

- application form,
- salary history at the center,
- medical records,
- training records,
- evaluation forms, and
- documentation of any problems.

This information can help the director or board of directors make decisions about advancement and pay raises. A director should carefully maintain all records, even after an employee has gone. Former employees often give director's names as references.

Summary. Keeping a staff working together to provide good child care is the job of the director. Caregivers contribute to the cooperative process through staff meetings, formal and informal evaluation, and problem solving. A final task of the director is to keep accurate personnel files.

Summary

A quality child care program relies on strong personnel. A program director is ultimately responsible for organizing, acquiring, and maintaining staff. Some of the director's tasks take place behind the desk and others take place in personal contact with employees. Both areas are equally important.

REFERENCES

Cherry, Clare, et al. *Nursery School and Day Care Center Management Guide*.

Genua, Robert L. *The Employer's Guide to Interviewing*.

Stewart, Nathaniel. *The Effective Woman Manager*.

Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 19

LEARNING OBJECTIVE

Develop an organizational chart based on observation of a child care program.

DIRECTIONS

1. Arrange to observe a child care program in action for several hours.
2. Observe each classroom and activity area of the center. Ask a few questions. Note the number and types of positions. Find out job titles. Note lines of communication.
3. Develop an organizational chart for the center. Draw the organizational chart on the following page.
4. Answer the questions below.

KEY QUESTIONS

By simply observing, what did you learn?

What questions did you ask?

Did each staff member seem to know his or her position and job responsibilities? Explain.

Evaluate the organizational structure of this center.

ORGANIZATIONAL CHART

Name of Center: _____ Number of Staff: _____

Draw the organizational chart below.

NOTE: If possible, obtain a copy of the real organizational structure and compare it to the one you developed. What similarities and differences can you note?

Student's Name: _____ Date: _____
Course: _____

LAB EXPERIENCE 20

LEARNING OBJECTIVE

Develop a job description for an infant caregiver.

DIRECTIONS

1. Research references about the tasks of an infant caregiver.
2. Based on your research, develop a job description on the form provided on the next page.
3. Arrange to observe and interview two infant caregivers in action.
4. Evaluate your job description in terms of what you observe and what the infant caregivers tell you.
5. Answer the questions below.

KEY QUESTIONS

What references did you study to gain information about infant caregivers?

Based on your observations, give examples of tasks performed by the infant caregivers that are covered by your job description.

Give examples of tasks that are not covered by your job description.

Would the same job description be appropriate for both caregivers? Explain.

How would you revise your job description based on your observations and interviews?

JOB DESCRIPTION

Title of Job:

Purpose of Job:

Supervised By:

Qualifications:

Daily Duties:

Periodic Duties:

Occasional Duties:

Other Duties as Assigned:

Other Positions Supervised:

Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 21

LEARNING OBJECTIVE

Develop a job description for a teacher aide or assistant teacher of preschool children.

DIRECTIONS

1. Research references to find out about tasks that a teacher aide or assistant teacher performs in caring for preschool children.
2. Based on your research, develop a job description on the form provided on the next page.
3. Arrange to observe and interview two preschool caregivers who are teacher aides or assistant teachers.
4. Evaluate your job description in terms of what you observe and what you are told by the caregivers.
5. Answer the questions below.

KEY QUESTIONS

What references did you study to gain information about the job performance of teacher aides or assistant teachers?

Based on your observations, give examples of tasks performed by the caregivers that are covered by your job description.

Give examples of tasks that are not covered by your job description.

Would the same job description be appropriate for both caregivers? Explain.

How would you revise your job description based on your observations and interviews?

JOB DESCRIPTION

Title of Job:

Purpose of Job:

Supervised By:

Qualifications:

Daily Duties:

Periodic Duties:

Occasional Duties:

Other Duties as Assigned:

Other Positions Supervised:

84

Student's Name: _____ Date: _____
Course: _____

LAB EXPERIENCE 22

LEARNING OBJECTIVE

Develop a job description for a teacher of preschool children.

DIRECTIONS

1. Research references to find out about tasks that a teacher performs in caring for preschool children.
2. Based on your research, develop a job description on the form provided on the next page.
3. Arrange to observe and interview two caregivers who are preschool teachers.
4. Evaluate your job description in terms of what you observe and what you are told by the caregivers.
5. Answer the questions below.

KEY QUESTIONS

What references did you study to gain information about the job performance of preschool teachers?

Based on your observations, give examples of tasks performed by the caregivers that are covered by your job description.

Give examples of tasks that are not covered by your job description.

Would the same job description be appropriate for both caregivers? Explain.

How would you revise your job description based on your observations and interviews?

JOB DESCRIPTION

Title of Job:

Purpose of Job:

Supervised By:

Qualifications:

Daily Duties:

Periodic Duties:

Occasional Duties:

Other Duties as Assigned:

Other Positions Supervised:

Student's Name: _____ Date: _____
Course: _____

LAB EXPERIENCE 23

LEARNING OBJECTIVE

Develop a job description for a teacher of after-school children.

DIRECTIONS

1. Research references to find out about tasks that a teacher performs in caring for after-school children.
2. Based on your research, develop a job description on the form provided on the next page.
3. Arrange to observe and interview two caregivers who are teachers of after-school children.
4. Evaluate your job description in terms of what you observe and what you are told by the caregivers.
5. Answer the questions below.

KEY QUESTIONS

What references did you study to gain information about the job performance of an after-school teacher?

Based on your observations, give examples of tasks performed by the caregivers that are covered by your job description.

Give examples of tasks that are not covered by your job description.

Would the same job description be appropriate for both caregivers? Explain.

How would you revise your job description based on your observations and interviews?

JOB DESCRIPTION

Title of Job:

Purpose of Job:

Supervised By:

Qualifications:

Daily Duties:

Periodic Duties:

Occasional Duties:

Other Duties as Assigned:

Other Positions Supervised:

Student's Name: _____ Date: _____
Course: _____

LAB EXPERIENCE 24

LEARNING OBJECTIVE

Interview child caregivers to find out about job qualifications.

DIRECTIONS

1. Arrange to interview three caregivers with the same type of job.
2. Find out about their qualifications at the time they were hired for their present position. Use some of the suggested interview questions below.
3. Use the form provided on the next page to record the caregivers' responses.
4. Answer the questions below.

SUGGESTED INTERVIEW QUESTIONS

What was your educational background when you were hired for this position?

What kinds of experiences do you feel best qualified you for this position?

What personal capacities do you think helped you get this job?

What other kinds of qualifications would you have liked to have had when you started this job?

KEY QUESTIONS

What kinds of educational experiences did the three caregivers have in common?

What kinds of work experiences did the caregivers have in common?

If you were writing a job qualifications statement for this position, how would it be worded?

INTERVIEW RECORD

Job title of caregivers interviewed: _____

Qualifications of Caregiver #1

Qualifications of Caregiver #2

Qualifications of Caregiver #3

Student's Name: _____ Date: _____
Course: _____

LAB EXPERIENCE 25

LEARNING OBJECTIVE

Analyze job qualifications of child care program directors.

DIRECTIONS

1. Arrange to interview three child care program directors.
2. Find out about their qualifications at the time they were hired for their present position. Use some of the suggested interview questions below.
3. Use the form provided on the next page to record the directors' responses.
4. Answer the questions below.

SUGGESTED INTERVIEW QUESTIONS

What was your educational background when you were hired for this position?

What kinds of experiences do you feel best qualified you for this position?

What personal capacities do you think helped you get this job?

What other kinds of qualifications would have helped you when you started this job?

KEY QUESTIONS

What kinds of educational experiences did the three directors have in common?

What kinds of work experiences did the directors have in common?

If you were writing a job qualifications statement for this position, how would it be worded?

INTERVIEW RECORD

Qualifications of Director #1

Qualifications of Director #2

Qualifications of Director #3

Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 26

LEARNING OBJECTIVE

Analyze the employee schedule at a child care center.

DIRECTIONS

1. Obtain a copy of the employee schedule at a child care center. Or, conduct interviews to find out the employees' schedules.
2. Use the forms on the following two pages to record the employees' individual schedules and the room coverage.
3. Fill in the hours of operation across the top of the schedules. Each box represents one hour. Use handouts of sample schedules provided by your instructor as examples.
4. Answer the questions below.

KEY QUESTIONS

According to the schedule, is the staff-child ratio in accordance with your state's minimum licensing standards? If not, explain.

When are part-time employees scheduled?

Do full-time employees have lunch hours, split shifts, etc.? Explain.

How would you modify this schedule to make improvements?

CHILD CARE PROGRAM
ROOM COVERAGE SCHEDULE

ROOM	TIME											
	7:00	8:00	9:00	10:00	11:00	12:00	1:00	2:00	3:00	4:00	5:00	6:00

CHILD CARE PROGRAM
EMPLOYEES' SCHEDULES

NAME & POSITION
ROOM NUMBER TIME

Student's Name: _____ Date: _____
Course: _____

LAB EXPERIENCE 27

LEARNING OBJECTIVE

Analyze hiring practices in a child care program.

DIRECTIONS

1. Arrange to interview a child care program director.
2. Find out about hiring practices in that program. Use some of the suggested interview questions below.
3. Use the form provided on the next page to record the director's responses.
4. Answer the questions below.

SUGGESTED INTERVIEW QUESTIONS

How do you recruit applicants?

What do you look for in evaluating a prospective employee's application?

How do you schedule interviews?

What is the main thing you hope to learn about an applicant from the interview?

How do you conduct an interview?

What kinds of questions do you ask?

How do you make your final decision?

KEY QUESTIONS

How do the hiring practices in this center comply with Equal Employment Opportunities legislation?

Based on the interview, what key points can you list for effective hiring practices?

INTERVIEW RECORD

Question:

Response:

Question:

Response:

Question:

Response:

Question:

Response:

Question:

Response:

Question:

Response:

Question:

Response:

Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 28

LEARNING OBJECTIVE

Conduct a tour of a child care facility with a "new employee."

DIRECTIONS

1. Find a partner to work with you who can role play a "new employee."
2. Arrange to conduct a tour of a child care program for the "new employee." Choose a center that you are familiar with.
3. Write your plan for conducting the tour in the space provided below.
4. Answer the questions below.

PLAN FOR CENTER TOUR

KEY QUESTIONS

How well did your plan work?

How do you think the "new employee" felt as a result of the tour?

What will you do differently next time?

Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 29

LEARNING OBJECTIVE

Evaluate a staff meeting.

DIRECTIONS

1. Arrange to observe a staff meeting at a child care facility.
2. Use the check list on the following page to help you evaluate the staff meeting.
3. Answer the questions below.

KEY QUESTIONS

What were the physical arrangements of the meeting?

Was the meeting formal or informal? Why?

What were the purposes, goals, or objectives of the meeting?

Based on the check list, what were the strengths of the meeting?

Based on the check list, what aspects of the staff meeting need to be improved?

How might these improvements be made?

EVALUATION CHECK LIST: STAFF MEETINGS

DIRECTIONS

Place a check on the line which best indicates the accuracy of the statement.

	Yes	Somewhat	No
1. All staff members were present and free from other responsibilities.			
2. The meeting began on time.			
3. An agenda that had been posted was used.			
4. The agenda was followed.			
5. Minutes of the last meeting were read.			
6. General announcements were made first.			
7. The purposes, goals, or objectives of the meeting were clear.			
8. The most important topics were discussed early in the meeting.			
9. The chairperson helped the group stay on the topic being discussed.			
10. The staff members were encouraged to express their opinions.			
11. The chairperson practiced good listening skills.			
12. Everyone participated in the discussion.			
13. Problems were introduced in a straightforward, yet non-threatening way.			
14. Discussion of personal problems was kept to a minimum.			
15. The chairperson was able to control the dominant individuals in the group.			
16. The meeting was not rushed; topics were discussed thoroughly.			
17. The group made decisions through consensus or general agreement.			
18. An opportunity to suggest topics for the next staff meeting was given.			
19. The general tone of the meeting was positive.			
20. The meeting ended on time.			

Student's Name: _____ Date: _____
Course: _____

LAB EXPERIENCE 30

LEARNING OBJECTIVE

Conduct a staff meeting at a child care center.

DIRECTIONS

1. Arrange to conduct a staff meeting at a child care center.
2. Work with the director to formulate the agenda. Use the form on the following page to record the agenda as planned.
3. Evaluate your performance by completing the *Evaluation Check List: Staff Meetings* on page 97.
4. Answer the questions below.

KEY QUESTIONS

What were the physical arrangements of the meeting?

Was the meeting formal or informal? Why?

What were the purposes, goals, or objectives of the meeting?

Based on the evaluation check list, what were your strengths in conducting the staff meeting?

Based on the evaluation check list, what areas need improvement?

How will you do things differently next time?

STAFF MEETING AGENDA

Date: _____

Time: _____

Staff members present:

Staff members absent:

I. Read minutes of last meeting.

II. General announcements:

III. Topics for Discussion: (In order of importance)

A.

B.

C.

D.

E.

F.

G.

H.

IV. Assignments.

V. Proposed topics for next meeting:

103

VI. Adjourn.

EVALUATION CHECK LIST: STAFF MEETINGS

DIRECTIONS

Place a check on the line which best indicates the accuracy of the statement.

	Yes	Somewhat	No
1. All staff members were present and free from other responsibilities.			
2. The meeting began on time.			
3. An agenda that had been posted was used.			
4. The agenda was followed.			
5. Minutes of the last meeting were read.			
6. General announcements were made first.			
7. The purposes, goals, or objectives of the meeting were clear.			
8. The most important topics were discussed early in the meeting.			
9. The chairperson helped the group stay on the topic being discussed.			
10. The staff members were encouraged to express their opinions.			
11. The chairperson practiced good listening skills.			
12. Everyone participated in the discussion.			
13. Problems were introduced in a straightforward, yet non-threatening way.			
14. Discussion of personal problems was kept to a minimum.			
15. The chairperson was able to control the dominant individuals in the group.			
16. The meeting was not rushed; topics were discussed thoroughly.			
17. The group made decisions through consensus or general agreement.			
18. An opportunity to suggest topics for the next staff meeting was given.			
19. The general tone of the meeting was positive.			
20. The meeting ended on time.			

Student's Name: _____ Date: _____
Course: _____

LAB EXPERIENCE 31

LEARNING OBJECTIVE

Evaluate the performance of a child caregiver.

DIRECTIONS

1. Arrange to observe a child caregiver of three- to five-year-old children.
2. Obtain a copy of the employee evaluation form used by the program to use in evaluating the caregiver's performance. Or, use the evaluation instrument beginning on the next page.
3. Observe the caregiver for several hours. Complete the evaluation instrument as best you can during that time period.
4. Answer the questions below.

KEY QUESTIONS

During the few hours you observed, were you able to complete the evaluation instrument? If not, how much observation do you think it would take?

How is evaluating specific job skills different from evaluating personal capacities?

In the feedback conference with this employee, what would you say?

What are your feelings regarding evaluation of another person's performance? As a director, would you feel confident in the role of evaluator? Explain.

EVALUATION FOR DAY CARE WORKER, TEACHER, AND ASSISTANT TEACHER

NAME: _____ DATE: _____

CENTER: _____ DIRECTOR: _____

Indicate rating by using numbers 1 through 5: 5 meaning high, appropriate, or very good; 3 meaning average; and 1 meaning low, inappropriate, or poor in that particular characteristic.

I. Sets Up and Maintains Safe and Healthy Learning Environment

1. _____ Establishes safety rules that are understood and practiced by children and adults.
2. _____ Has available a plan for emergency exit from the building; children and adults are familiar with this plan.
3. _____ Checks equipment regularly to ensure that it is in good condition.
4. _____ Has adequate first aid, tissue, and soap supplies available.
5. _____ Plans nutritious snacks and meals for children (where appropriate).
6. _____ Plans activities that encourage good health habits.
7. _____ Selects and uses materials and equipment that stimulate the children.
8. _____ Maintains a well-arranged and orderly environment.
9. _____ Includes materials which reflect the children's culture(s).

II. Advance Physical and Intellectual Competence

10. _____ Provides materials and equipment to develop large motor-skills at appropriate developmental level of the children.
11. _____ Provides equipment and activities to promote the development of the fine motor-skills at the appropriate developmental level.
12. _____ Makes necessary adaptations in program to meet the needs of handicapped children.
13. _____ Helps children develop concepts related to space, time, numbers, etc.
14. _____ Provides materials and equipment for exploration and experimentation in science activities.
15. _____ Provides challenging experiences that stimulate curiosity and motivate the children to learn.
16. _____ Uses his/her own speech as a model and provides the children with opportunities for language acquistion and use.

17. _____ Helps children associate word-meaning with experiences.

18. _____ Encourages verbal and non-verbal expression.

19. _____ Encourages creative expression of feelings and ideas.

20. _____ Provides activities, materials, and equipment that encourage creative endeavors (art, music, dramatics, movement, etc.)

III Build Positive Self-Concept and Individual Strength

21. _____ Helps each child have success experiences.

22. _____ Provides a comfortable atmosphere in which to discuss and share information on cultural heritage.

23. _____ Helps each child become aware of and exercise control over his/her own body.

24. _____ Encourages children in development of self-help skills.

25. _____ Provides a balance of success experiences and challenging experiences.

26. _____ Helps children find acceptable ways of expressing negative feelings.

27. _____ Provides an environment in which children can work cooperatively in groups as well as individually.

28. _____ Helps children respect the property and rights of others.

29. _____ Helps children respect the personal feelings of others.

30. _____ Allows for active and quiet periods.

31. _____ Shares responsibility with other adults for planning and implementing activities of the group.

32. _____ Schedules activities in consideration of the needs of children.

IV. Bring About Optimal Coordination of Home and Center Child-Rearing Practices and Expectations

33. _____ Establishes and promotes productive relationships with parents so as to increase the center's ability to help parents meet their child-rearing responsibilities.

34. _____ Provides opportunities for parents to use their skills and talents in the group.

35. _____ Encourages participation in parent-advisory groups at the center.

V. Carry Out Supplementary Responsibilities Related to the Children's Programs

36. _____ Plans activities with other adults working with the group.

37. _____ Records pertinent information about working with the group.

38. _____ Attends workshops, seminars, welcomes new ideas; flexibility is shown by willingness to consider new ideas.

VI. Personal Qualities

39. _____ Friendly, warm.

40. _____ Appearance: dress, posture.

41. _____ Speech and voice: clear, with a pleasant tone.

42. _____ Tact and courtesy: observes social conventions, tolerant and considerate of others.

43. _____ Displays a sense of humor.

44. _____ Dependable.

45. _____ Self-confident.

46. _____ Enthusiastic about teaching.

47. _____ Expresses a desire to learn.

48. _____ Ability to evaluate self.

49. _____ Profits from criticism.

50. _____ Likes children, shows a real enjoyment of them.

Total Score and Rating (Use scale below for rating.) _____

250 - 225	Superior
224 - 200	Outstanding
199 - 175	Very Good
174 - 150	Satisfactory
149 - 100	Improvement Needed (to be re-assessed within 60 days)
99 - below	Subject to Termination

DISCUSSION

1. Name the employee's greatest strengths in job performance.

2. Name the employee's chief weaknesses in job performance.

3. What would you plan to do to help the employee overcome the chief weaknesses in job performance?

4. What kind of training, if any, outside your immediate office or division would you recommend for this employee?

5. Overall, is the employee's performance satisfactory? _____ (yes) _____ (no)

If "yes" would you recommend:
_____ promotion _____ merit increase _____ no action now

If promotion is recommended, please describe the kind of work in the position to which you think the employee is promotable. If merit increase is recommended, please specify pay category.

If "no" would you recommend:
_____ probation _____ demotion _____ dismissal _____ no action now

Please state your justification for this recommendation.

_____

ENDORSEMENTS

I discussed this report with the employee named above on the date following my signature.

_____ _____
Supervisor Date

The foregoing Performance Review has been discussed with me, and I wish to add the following comments:

_____ _____
Employee Date

Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 32

LEARNING OBJECTIVE

Analyze problem solving strategies of child care program directors.

DIRECTIONS

1. Arrange to interview two or three child care program directors.
2. Explain to the directors that you are learning about problem solving strategies. Ask the directors to tell you how they would go about solving a hypothetical problem.
3. Read to them one of the hypothetical problem cases presented on the next page. Use the same problem for each director so that you may analyze the different strategies.
4. Write a summary of the directors' responses to the problem case on the form provided on page 107.
5. Answer the questions below.

KEY QUESTIONS

What problem solving strategies were used by each director? Explain by giving examples from their responses.

Based on the directors' responses, what leadership styles did the directors use? authoritarian? democratic? laissez-faire?

How does leadership style affect a director's problem solving strategies?

PROBLEM SOLVING CASES

DIRECTIONS

Read one of the following cases to the director. Ask the director to explain how she or he would go about solving the problem. Summarize the director's response on the following page.

Case I

As director, you notice that the lead teacher in the three-year-olds' room has stopped planning interesting activities for the children. Recently you placed three new children in this teacher's room along with the other group of nine children. Many problems have developed in maintaining order. The teacher's aide has called in sick on five different days during the last three weeks, leaving the teacher without help. Several parents have commented to you about the situation.

Case II

The holiday season is upcoming and you want to plan some center activities involving all the children in a program for the parents. However, when your five head teachers get together to work on this project, they end up in an argument and two teachers start to gossip and backbite about the other three during the week. You notice that little remarks are being passed between the teachers expressing their hostility. Finally, one teacher complains to you that another will not let her borrow the record player from her room.

Case III

One day you notice a parent of one of your "difficult" children fleeing from the center in tears with her child. Upon investigation, you find that the teacher of the child and the parent had exchanged words about the child's problems when the parent arrived to pick up the child. This teacher is one of your best and most caring employees and was very disturbed about some strange marks on the child's back. The teacher had tried to confront the parent and in the process the teacher told the parent that the parent had caused many of the child's problems. The teacher was fearful for the child's safety and emotional well-being.

Case IV

(Write an example of your own.)

PROBLEM SOLVING CASES:
DIRECTOR'S RESPONSES

DIRECTIONS

Summarize each director's response to the hypothetical problem case.

Case discussed: I II III IV (circle one)

Director #1

Director #2

Director #3

Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 33

LEARNING OBJECTIVE

Evaluate record keeping practices at a child care center.

DIRECTIONS

1. Arrange to interview the person in charge of personnel records at a child care center.
2. Use the question and answer sheet on the following page to help you evaluate the center's record keeping practices.
3. Answer the questions below.

KEY QUESTIONS

Were all the necessary personnel records kept on file for each employee? What, if any, records were not being kept? What records, if any, were being kept that you had not thought of?

Was the system for filing the records organized? Explain how.

How would you set up and maintain a personnel record keeping system?

RECORD KEEPING PRACTICES QUESTIONNAIRE

DIRECTIONS

Ask the person in charge of personnel records some of the following questions. Record the response in the space below the question.

What types of records are kept on each employee?

How are these records organized and filed?

How often are records updated?

Who has access to personnel records?

Could a new director find information in the files easily?

What records are you required to keep by law?

How do personnel records help in personnel management?

SELF-EVALUATION FOR LABORATORY EXPERIENCES

Name of Student: _____ Date: _____

Course Instructor: _____ Course: _____

Lab Experience: _____

Briefly describe the events of your experience.

Answer the following questions.	Yes	No	N/A
1. Did I read the unit overview and assigned readings?	☐	☐	☐
2. Did I read the lab experience carefully before beginning?	☐	☐	☐
3. Did I follow the directions?	☐	☐	☐
4. Did I arrive on time as planned?	☐	☐	☐
5. Were my materials or equipment ready?	☐	☐	☐
6. Did I know the assignment well enough to carry it out without referring to notes?	☐	☐	☐
7. Did I introduce myself to the caregiver and children?	☐	☐	☐
8. Did I achieve the learning objective for the lab experience?	☐	☐	☐
9. Were my personal goals for the experience achieved?	☐	☐	☐

Describe what you feel you accomplished as a result of this experience.

How could you improve your performance?

PARTICIPATION EVALUATION

Name of Student Evaluated: _____ Date: _____
Course: _____

Name of Instructor Evaluating: _____

Lab Activity: _____

Setting for the Evaluation: _____

Description of the Student's Performance:

EVALUATION CHECK LIST

General:	Superior	Good	Fair	Poor	N/A
Planning	☐	☐	☐	☐	☐
Following directions	☐	☐	☐	☐	☐
Carrying out the plan	☐	☐	☐	☐	☐
Use of materials	☐	☐	☐	☐	☐
Professional demeanor	☐	☐	☐	☐	☐
Use of language	☐	☐	☐	☐	☐
Listening skills	☐	☐	☐	☐	☐
Product developed	☐	☐	☐	☐	☐
*Specific**					
_____	☐	☐	☐	☐	☐
_____	☐	☐	☐	☐	☐
_____	☐	☐	☐	☐	☐
_____	☐	☐	☐	☐	☐

COMMENTS

*The instructor will fill in specific behaviors to be observed or product to be evaluated based on the lab experience. This should be done before the student is observed.

Performance Objectives
Finances Unit IV

Funding

- Demonstrate ways in which fees can be determined for child care services.
- Describe funding sources available to child care programs.

Record Keeping

- Develop a system for maintaining accurate financial records.
- Prepare a staff payroll.
- Determine how to pay taxes as a debtor and an agent.
- Devise a system for keeping inventory of equipment and supplies.

Financial Control

- Plan and evaluate an annual budget.
- Outline strategies for controlling costs.

An Overview

The success or failure of a child care program often rests on the financial management skills of the director. Responsibilities include record keeping, budgeting, controlling costs, and ensuring a stable income. Becoming a skillful financial manager takes training and experience. This unit introduces some basic concepts and strategies helpful to the director of a small child care program. Directors of larger or more complex programs may need advanced training in accounting or help from experts. References listed at the end of the overview give additional information.

Funding

Many sources of funding are available for child care programs. Some programs are funded through *tuition* or fees paid by parents. Other programs receive a majority of their funds from government sources at the local, state, and national levels. Still other programs receive funds from charitable organizations.

Programs which depend on parent fees must make enough money to cover program costs. Establishing the right fee is an important task. One way to do this is called a *breakeven analysis.* This involves finding out when costs and income balance. By trying different fee figures in a formula based on enrollment, the director can decide what fee is best.

Fees are also influenced by the local child care market. It is a good idea to find out what fees are being charged for similar programs.

Many not-for-profit programs are funded by government agencies and charitable organizations. If a program plans to seek funding from these sources, the following guidelines will be helpful:

- Check publications which list funding sources for children's programs. Many of these are available through the Superintendent of Documents at the U.S. Government Printing Office in Washington, D.C. Many states have funds available through their departments of social service, education, or rehabilitation.
- Identify specific funding agencies and request information about their funds and how they are awarded.
- Check local sources of funding. Check businesses and industries, schools, community development funds, and social service

funds. Also check with organizations which are charitable or religious in nature.

Procedures for obtaining funding differ from one agency to another. However, some general rules apply. For example, a *proposal* for funding usually has five parts: a needs assessment, a program overview, management information, a budget, and a means for program evaluation. Also, following the guidelines or rules of the agency is very important. If the application for funds is filled out incorrectly, the agency may not consider the application.

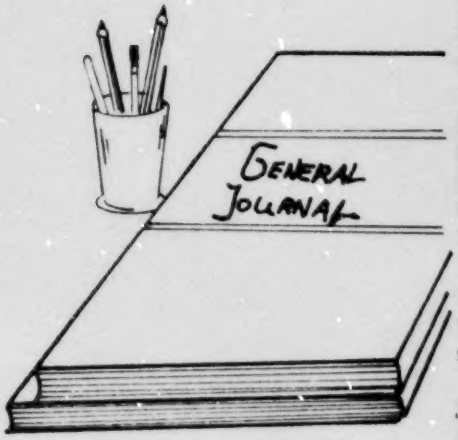
Once funded, a program may recover costs by billing the funding agency at the end of a month. In some cases, a lump sum is awarded and spent by the program as needed. Either way, care should be taken to follow exactly the procedures given by the agency. Exact record keeping is a must.

Record Keeping

All child care programs should have a comprehensive system for record keeping. This system acts as a basis for dealing with the Internal Revenue Service (IRS) and possible funding agencies. A record keeping system can be simple as long as it is well-organized, up-to-date, and consistent.

Financial record keeping systems can be organized in many different ways. Some programs hire experienced bookkeepers, full-time or part-time, who are responsible for all financial work. Other programs hire accounting firms to set up bookkeeping systems. They also prepare annual reports and tax information. Many programs purchase microcomputers with financial management software packages.

Other programs use a *voucher system*. All checks are written from a business checking account. Fees are received and recorded. This information is submitted to an accounting firm that maintains all the records. This system is called a voucher system because all expenses must be recorded on vouchers (forms) for the accountant.



Still other programs may not be totally responsible for financial records. For example, a child care program may operate as a part of a larger organization such as a church. The director reports all financial matters to a budget committee or administrative office.

In smaller child care programs the director sets up and maintains the financial record keeping system. A *single-entry bookkeeping* system works well for smaller programs.

Single-entry Bookkeeping. Several bookkeeping tools are used in the single-entry system. They include:

- a general journal,
- a general ledger,

- an income or parent fees ledger, and a
- payroll ledger.

In addition to these financial books, the director needs a business checkbook, a receipts book, and an adding machine or calculator with a paper tape. A filing system is also necessary. Receipts, statements, invoices, and the like must be kept to document information in the journal and ledgers.

In single-entry bookkeeping, each financial *transaction* or event is recorded first in a general journal. The *general journal* is like a diary. Every day, the financial events are written down as they happen. The example below shows how the general journal might look.

Date	Description	Act. #	Amount
9-11	Milk Wholesaler	224	36 14
9-11	Electricity	228	140 36
9-11	Grant Funds Received	110	1500 00
9-12	Grocery Wholesaler	224	135 49

Each event is described. The date and dollar amounts are recorded. In addition, an account number is recorded. This number tells the bookkeeper where to post this transaction in the ledgers. Every few days the information in the general journal is posted to the ledgers.

The *general ledger* is divided into *accounts* which are similar to items in the budget. For example, there are accounts for rent, food, equipment, and utilities. Some items in the budget such as income and payroll have separate ledgers. The *parent fees ledger* has a separate account for each family purchasing child care. The *payroll ledger* has a separate account for each employee. The payroll ledger shows exactly what deductions are taken out of each employee's paycheck.

In addition to recording actual financial transactions, it is important to record *in-kind contributions*. An in-kind contribution is a non-cash resource which is donated to the program. Generally these include volunteer time, free use of building space, or supplies donated for children's use. These in-kind contributions represent real funding for the program. They should be recorded with a dollar value so that true program costs can be calculated.

With these bookkeeping tools the director can keep track of income and expenses. In addition, the director can use the information in these books for planning and controlling costs.

Payroll. In a child care program, the largest cost is frequently wages or salaries paid to employees. Preparing the payroll, keeping accurate payroll records, and reporting information to government agencies are important tasks.

Several steps are involved in preparing a payroll. First, each employee's *gross wages* are figured. This amount might be a set salary or it might be based on hours worked during the payroll period. Then payroll deductions and contributions are figured. *Deductions* are mandatory amounts which are taken from gross wages. Three common deductions are Federal Income Tax Withholding, State Income Tax Withholding, and FICA (Social Security). The amount to deduct for each can be calculated by using charts provided by the IRS.

Contributions from employees' gross wages are voluntary deductions. For example, employees may wish to participate in a group health insurance program or a savings plan.

After deductions and contributions are totaled, this amount is subtracted from the gross wages. The remaining amount is known as *net wages* or "take home pay." A payroll check is prepared for each employee. The stub attached to the payroll check shows exactly what amounts were subtracted from the gross wage and for what purposes.

All of these financial transactions are recorded in the payroll ledger. From the payroll ledger the bookkeeper also figures the total amount of money to be paid on the employees' behalf to state or government agencies. In this situation, the employer is acting as an *agent* for the employee in paying taxes.

Taxes are usually paid quarterly by the employer to the appropriate agency. For FICA (Social Security), the employer not only pays what was deducted from the employees' salary but also a matching contribution. The local IRS office or Small Business Administration can give a director more information and assistance on these procedures.

Inventory. Keeping track of supplies and equipment can be done with *inventory records*. Such records serve several purposes. Inventory records on major equipment can show serial numbers, purchase cost, and maintenance schedules. Inventory records of supplies in a classroom can show what is missing or in need of repair. Such a list can be used as the basis for reordering materials.

Consumable supplies such as food need to be inventoried regularly. Storage areas can be organized to make this an easy task. For example, a pantry with canned goods can be arranged

for a quick check. All canned goods of the same kind can be grouped in fives or tens. The cook can tell at a glance how much is left by counting the groups.

Inventory records also help the director in controlling costs. If the director notices an unusual amount of art supplies missing, the director should find out why. It may be that some money-saving measures need to be taken to avoid wasteful use of supplies.

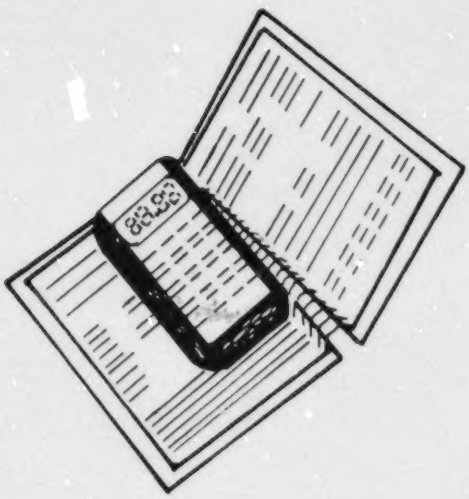
A variety of methods can be used to keep inventory records. The director decides which will work best. The important point to remember is that inventory records need to be accurate and kept up-to-date.

Financial Control

Financial control is a challenging task for directors. In many ways, budgeting and controlling costs are a director's most important tasks. Without such control, a center could find itself in serious financial trouble.

Budgets. A *budget* is a financial plan. It tells how much a child care program expects to make and spend. Budgets help directors establish fees, make decisions about spending, and control costs. In addition, budgets reflect the goals and objectives of the program.

Directors starting a new program develop a one-time budget known as a *start-up budget*. Such a budget shows how much money it will cost to set up the program. Once a program is underway, an *operating budget* is prepared each year.



An operating budget is broken down into two basic categories: expected income and expected expenses. Income and expenses are further detailed by *line item*. Line items for income might include parent fees and fund raisers. Line items for expenses include: salaries and benefits, rent, utilities, supplies, food, equipment, and training. All expected costs and income should be reflected in the budget, including in-kind contributions.

If the program expects to make a profit, income must be greater than expenses. A not-for-profit program would show how income and expenses balance. A good rule of thumb when estimating income is to adjust for periods of low enrollment.

The budget can usually be shown on a single sheet of paper. Backup sheets may be provided to give details. For example, a salaries and benefits backup sheet lists all staff and their salaries. In addition to backup sheets, a written explanation for expenses might be included. This is known as a budget *justification*.

The budget is an important tool. During the year, the director will refer to it many times. Analyzing the budget in relation to actual income and expenses is useful in controlling costs.

Controlling costs. The most important thing a director can do to control costs is to watch cash flow. At the beginning of the fiscal year the director prepares a "cash flow calendar." This chart shows income and expenses month by month for each budget item. The director can see in which months expenses will exceed income. For example, an insurance premium and quarterly taxes may be due in the same month. Total expense for that month may be more than expected income. Hence, the director can limit expenses for preceding months to ensure that extra cash will be available.

Another cost controlling measure related to a cash flow analysis is the *monthly financial statement.* At the end of each month the director prepares a sheet showing actual income and expenses for the year to date. This amount is compared to the amount that was budgeted. The cash flow calendar can be used to figure how much was to be made and spent by a certain date. The difference between these two figures tells the director how far finances are over or under the budget. The director can then take corrective measures if needed.

Wise purchasing and use of supplies and energy are also important cost controlling measures. Purchase of equipment should be made only after the director has done comparative shopping. The goals of quality and reasonable price are possible if the director checks several sources. Wise use of supplies and energy are simplified if staff have an attitude of conservation. Everyone should be alert to the non-wasteful use of supplies and energy.

When it is necessary to cut costs, the director should examine the budget carefully. Larger budget categories are usually the best place to look. For example, if the director needed to cut costs by $500, this could be done by looking at the large category of salaries and benefits. A $500 reduction here might only represent two percent of the total budgeted amount; whereas, a $500 reduction in the training budget might represent a 50 percent cut.

Many other strategies are available to help directors with financial control. Budgeting, watching cash flow, and conservation are three of the most important.

Summary

Management of financial resources is one of the director's most important tasks. Through training and experience the director can learn how to ensure that the program will have a stable income. In addition, the director can establish and maintain an accurate record keeping system. Finally, the director can learn to develop and use budgets to control costs. Because so much

depends upon the director's skills in this area, the director should never hesitate to seek assistance whenever in doubt.

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Student's Name: _____ Date: _____
Course: _____

LAB EXPERIENCE 34

LEARNING OBJECTIVE

Calculate fees to charge for child care services using a breakeven chart.

DIRECTIONS

1. Review information about breakeven analysis in references or from the handout given to you by your instructor.
2. Follow the steps given below to construct the parts of the chart which show expenses.
3. Determine which fee would result in the earliest breakeven point.
4. Answer the Key Questions.

CONSTRUCTION OF A BREAKEVEN CHART

STEP 1 Examine the blank chart on page 124. Notice that the bottom part of the graph represents the number of children enrolled. For the purpose of this problem, assume that the child care program is licensed for a maximum of 90 children. The side of the graph represents dollars in thousands.

STEP 2 Recall that the breakeven formula is N x T = F+V+S. This means the number of children (N) times the tuition (T) equals the sum of the fixed, variable, and semi-variable costs. Income and costs should balance to breakeven.

STEP 3 Graph the fixed costs. For this problem fixed costs will be $25,000. Since fixed costs do not change with an increase in the number of children, this line will be straight.

STEP 4 Graph fixed costs plus variable costs. This line will gradually increase on the graph as the number of children increases. For this problem use the following variable costs:

At 35 children V=$15,000
At 50 children V=$20,000
At 70 children V=$25,000
At 90 children V=$30,000

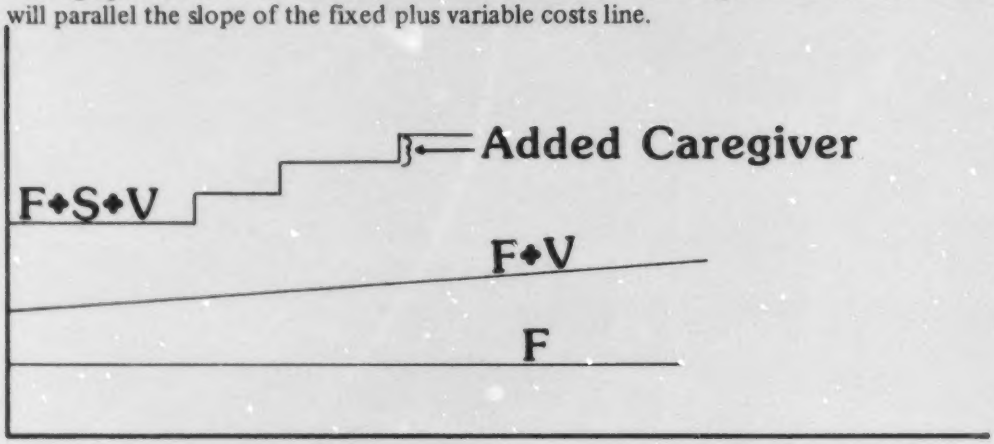
Remember to add the fixed cost to each of the variable costs, then plot that point on the graph. Draw a line connecting the points.

STEP 5 Graph the sum of the fixed, variable and semi-variable costs. This line will show total costs. With the semi-variable costs added in, the line will look like a sloping staircase. With the addition of each caregiver, the cost jumps straight up. Use the following semi-variable costs for this problem:

At 35 children S=$36,000 (salaries of 3 caregivers)
At 50 children S=$48,000 (salaries of 4 caregivers)
At 70 children S=$60,000 (salaries of 5 caregivers)
At 90 children S=$72,000 (salaries of 6 caregivers)

Remember to add the variable, fixed, and semi-variable costs to find the points on the graph to mark.

Your graph will look similar to the illustration below. The slope of the total costs line will parallel the slope of the fixed plus variable costs line.



STEP 6 Graph income. Remember that income is the amount of tuition or fees charged per child times the number of children enrolled. For example, if the weekly fee charged was $25 per week, this would equal $1,250 per year (assume this is for 50 weeks, i.e. $25 x 50 weeks = $1,250 per child). To figure the total income multiply the yearly cost per child times the number of children enrolled. At 35 children, income would be $43,750 if the fee per child was $25 per week. For this problem, figure the income at $30 per week per child for 50 weeks. Plot the income line on the graph.

STEP 7 Circle the point(s) on the graph where the income line crosses the total costs line (which was figured in Step 5). This is the breakeven point. Costs and income are the same. When the total costs line is above the income line, the business is losing money. When the total costs line is below the income line, the business is making a profit.

STEP 8 Identify breakeven points using two other fees. For example, where would the breakeven points be if tuition charged is $35 or $40 per week? Plot two other income lines on the chart and circle the breakeven points.

KEY QUESTIONS

Which fee would result in the earliest breakeven point?

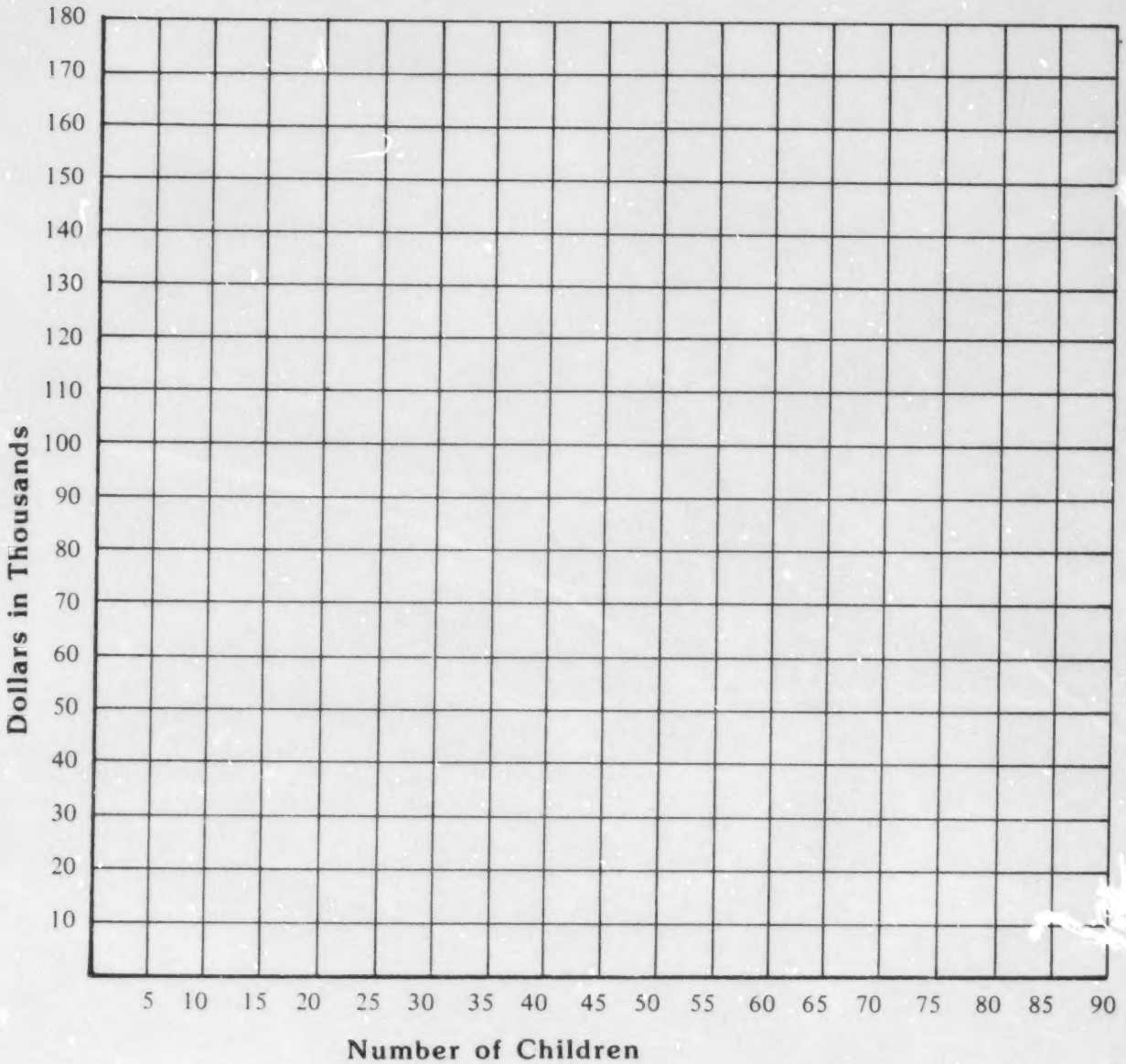
Which fees resulted in more than one breakeven point?

What cost contributes to multiple breakeven points?

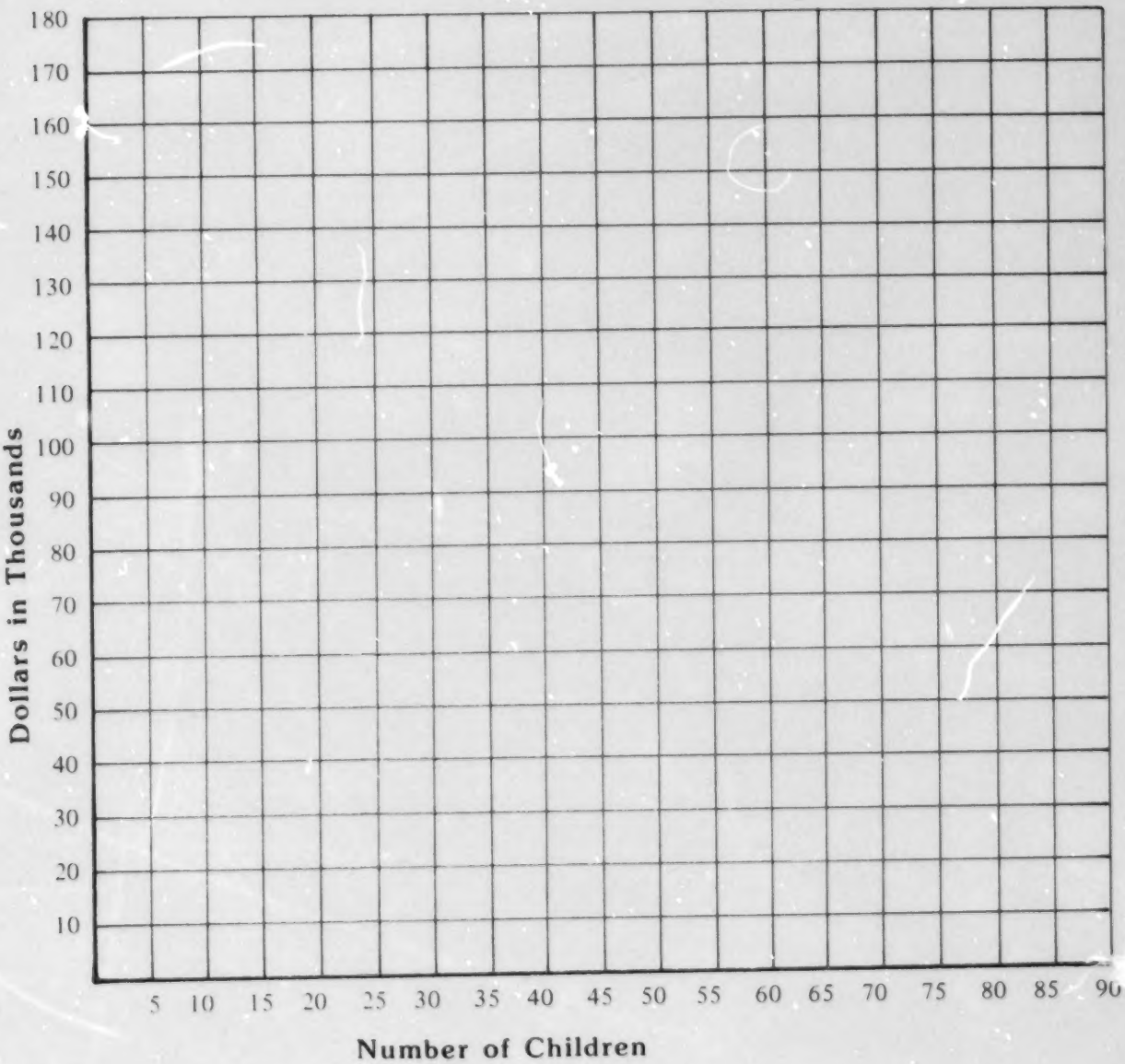
In what other ways could costs be lowered so that income exceeds expenses at an earlier point on the graph?

BONUS PROBLEM: Use the extra graph provided on page 125 to develop a breakeven chart using figures from a child care program with which you are familiar. Do this only if you have access to the needed financial data.

BREAKEVEN CHART



BREAKEVEN CHART



Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 35

LEARNING OBJECTIVE

Use a general journal to keep a running record of financial transactions.

DIRECTIONS

1. Read "One Morning in the Office" which describes the sequence of events which took place in a child care center.
2. Take note of all financial transactions which occurred.
3. Use the general journal sheet provided on the following page to record the financial transactions.
4. Answer the Key Questions.

ONE MORNING IN THE OFFICE

I'm Mary Sue Daniels, the secretary/bookkeeper at a child care center. I arrived one morning just before 7:30. Two parents, Mr. Farr and Mrs. West, were waiting for me with their weekly fees of $45.00. I made receipts for them both. Just as I finished, the salesperson from the milk company stopped by with our weekly order of dairy products. Since we get a discount for prompt payment, I gave a check to the salesperson for $52.10. After a few minutes organizing, I was ready to pay some of our bills. These are the bills I paid: water, $23.41; rent $395.00; electricity, $76.84; and telephone, $48.38. Another parent, Ms. Stevens, arrived with a check for fees from the last two weeks of $90.00. We spent time visiting about the need for prompt payment of fees. Later in the morning my director asked me to complete a form for an upcoming conference that several staff were to attend. I enclosed a check for $25.00 to cover the conference registration fee. Just before lunch, two of our preschool caregivers turned in receipts for supplies purchased at a local store. I reimbursed them for $11.53 and $9.05.

KEY QUESTIONS

Why is it important to record transactions in the general journal as soon as possible?

What can you do if you cannot record transactions right away?

Why should you always give receipts for any fees received?

GENERAL JOURNAL

DATE	DESCRIPTION	✓	ACT. #	AMOUNT

Student's Name: _____ Date: _____
Course: _____

LAB EXPERIENCE 36

LEARNING OBJECTIVE

Post entries from a general journal into the general ledger and parent fees ledger.

DIRECTIONS

1. Using the information in the previous lab experience, determine which account number should be entered by each transaction in the general journal. Use the following chart of accounts:

Account Number	Account Title	Account Number	Account Title
100	Income Fees	208	Insurance
200	Salaries	209	Supplies
201	Payroll Withholding	210	Food
202	Payroll FICA	211	Transportation
203	Rent	212	Training
204	Utilities		
205	Telephone		
206	Maintenance		
207	Equipment		

2. Prepare general ledger sheets and parent fees ledger sheets using the forms provided on pages 130 and 131. Enter the account number and title on each account.
3. Post the entries made in the general journal in the previous lab experience to the appropriate accounts.
4. Answer the questions below.

KEY QUESTIONS

Why is it important to determine into which account each transaction is to be posted?

What should be done if a check was written to a store for items which are covered by different accounts? (For example, a check written to the grocery store for food and supplies.)

GENERAL LEDGER

Annual Budget Figure: _____
Account Number. _____

Account: _____

DATE		DESCRIPTION	AMOUNT

Page No: _____

PARENTS FEES LEDGER

Child(ren) Enrolled: _____

Parents' Name: _____ Basic Tuition: _____

Address: _____

DATE	DUE	PAID	BALANCE

Student's Name: _____ Date: _____
Course: _____

LAB EXPERIENCE 37

LEARNING OBJECTIVE

Prepare an inventory list for a child care classroom.

DIRECTIONS

1. Arrange to spend about an hour in a child care classroom.
2. Using the form on the following page, begin a detailed inventory list of all equipment in the room. Include major equipment such as tables and chairs as well as learning materials. Stop at the end of an hour.
3. Answer the questions below.

KEY QUESTIONS

Were you able to list all the items found in the room? If not, suggest why.

Is it practical to keep up with all the small items found in certain types of learning materials (puzzles, for example)? Suggest ways that this can be done.

Whose responsibility should it be to maintain an accurate inventory record of all equipment found in the classroom? Why?

Why are accurate inventory records so important?

EQUIPMENT AND MATERIALS INVENTORY

Location: _____ Date: _____ Checker: _____

Item Description	Quantity	Condition	Original Cost	Notes

Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 38

LEARNING OBJECTIVE

Develop an annual budget for a child care program.

DIRECTIONS

1. Using the information provided on the data sheet on the next page, develop an annual budget for a hypothetical child care program.
2. Use the form provided following the data sheet to record your budget plan.
3. Answer the questions below.

KEY QUESTIONS

Were you able to include in your budget all the goals for the coming year? Why?

Write a budget justification for each of the goal-related items that you were able to include in your budget.

What role do records from the previous year play in preparing the budget for the coming year?

How can you show on the budget that the maximum level of income may not be achieved since enrollment will vary?

BUDGET DATA SHEET

INCOME DATA

- Maximum Enrollment: 60 children.
- Weekly fee: $40.
- Open 51 weeks during the year.
- Quarterly Registration Fee: $15.
- Fund raisers usually generate about $3,000 per year.

FIXED EXPENSES DATA

- Director's salary: $1,400 per month.
- Four full-time caregivers at $1,000 per month.
- Two part-time caregivers at $480 per month.
- One part-time cook at $520 per month.
- Rent: $850 per month.
- Total insurance costs: $350 per year.
- Total utilities for last year were $2,400.
- Telephone average bill for last year was $63 per month.
- Maintenance/housekeeping contract: $800 per year.

VARIABLE EXPENSES DATA

- Food costs for last year averaged about $1,200 per month with maximum enrollment.
- Supplies for last year averaged about $500 per month with maximum enrollment.

BUDGET-RELATED GOALS FOR COMING YEAR

- Must buy a freezer for about $400.
- Would like to have new electric typewriter for office, about $600.
- Need to have inside of building painted. Will share cost with building owner. Our part should be about $1,100.
- Would like to add telephone to kitchen. Installation costs about $100. Would add $15 per month to phone bill.
- Would like to offer a series of workshops for staff. Consultant fees would be about $1,000.
- Must make a profit of 10 percent of income this year.

ANNUAL OPERATING BUDGET

INCOME

Parent weekly fees	_____
Registration fees	_____
Fund raisers	_____
Total maximum income	_____

EXPENSES

Personnel salaries	_____
Personnel benefits @12% of salaries	_____
Rent	_____
Building maintenance/repairs	_____
Utilities	_____
Telephone	_____
Supplies	_____
Equipment	_____
Food	_____
Training for staff	_____
Insurance	_____
Other	_____
Total anticipated expenses	_____
NET PROFIT	_____

Student's Name: _____ Date: _____

Course: _____

LAB EXPERIENCE 39

LEARNING OBJECTIVE

Observe ways that time and resources can be saved in a child care center.

DIRECTIONS

1. Arrange to spend an hour or more in a child care center.
2. Observe the environment and activities for signs of time- and money-saving practices.
3. Observe for signs of time- and money-wasting practices.
4. Summarize your observations by answering the questions below.

KEY QUESTIONS

What examples can you give of time- and money-saving practices?

What examples can you give of time- and money-wasting practices?

If you were the director of this program, what suggestions could you give for saving time and money?

SELF-EVALUATION FOR LABORATORY EXPERIENCES

Name of Student: _____ Date: _____

Course Instructor: _____ Course: _____

Lab Experience: _____

Briefly describe the events of your experience.

Answer the following questions.	Yes	No	N/A
1. Did I read the unit overview and assigned readings?	☐	☐	☐
2. Did I read the lab experience carefully before beginning?	☐	☐	☐
3. Did I follow the directions?	☐	☐	☐
4. Did I arrive on time as planned?	☐	☐	☐
5. Were my materials or equipment ready?	☐	☐	☐
6. Did I know the assignment well enough to carry it out without referring to notes?	☐	☐	☐
7. Did I introduce myself to the caregiver and children?	☐	☐	☐
8. Did I achieve the learning objective for the lab experience?	☐	☐	☐
9. Were my personal goals for the experience achieved?	☐	☐	☐

Describe what you feel you accomplished as a result of this experience.

How could you improve your performance?

PARTICIPATION EVALUATION

Name of Student Evaluated: _____ Date: _____
Course: _____

Name of Instructor Evaluating: _____

Lab Activity: _____

Setting for the Evaluation: _____

Description of the Student's Performance:

EVALUATION CHECK LIST

General:	Superior	Good	Fair	Poor	N/A
Planning	☐	☐	☐	☐	☐
Following directions	☐	☐	☐	☐	☐
Carrying out the plan	☐	☐	☐	☐	☐
Use of materials	☐	☐	☐	☐	☐
Professional demeanor	☐	☐	☐	☐	☐
Use of language	☐	☐	☐	☐	☐
Listening skills	☐	☐	☐	☐	☐
Product developed	☐	☐	☐	☐	☐
*Specific**					
_____	☐	☐	☐	☐	☐
_____	☐	☐	☐	☐	☐
_____	☐	☐	☐	☐	☐
_____	☐	☐	☐	☐	☐

COMMENTS

*The instructor will fill in specific behaviors to be observed or product to be evaluated based on the lab experience. This should be done before the student is observed.

Glossary of Terms

active listening
Involves listening carefully so that you can repeat back to the speaker, in your own words, what you think the speaker was saying.

agent
A tax role or responsibility in which an employer pays taxes owed by employees on income and social security to the proper government agency.

articles of incorporation
Written document which describes a corporation's purpose, powers, and members.

authoritarian leadership style
A style in which the manager makes decisions and tells others what to do.

body language
Refers to the information provided by one's body during communication; includes facial expressions, gestures, and posture.

breach of contract
A legal term which refers to the breaking of a contract by one of the contracting parties.

breakeven analysis
A way of determining fees and controlling costs; involves determining the point where income and expenses balance; factors considered include fixed costs, variable costs, and semi-variable costs.

budget
A written financial plan for the coming year which shows anticipated income, expenses, and profit.

by-laws
A set of guidelines or procedures which describe how a corporation is to be run.

censor
A communication term which refers to mental blocks that inhibit the decoding of a message.

chart of accounts
A listing and numbering system used to organize the accounts in the general ledger.

child-staff ratio
Refers to the number of children who can be supervised by one caregiver or teacher; varies according to age(s) of the children.

communication
A two-way process involving sharing and understanding between two or more persons; one of the functions of management which serves to connect all other functions.

contract
An agreement between parties in which an offer is made and accepted; as part of the agreement something of value is to be exchanged between the parties.

corporation
Refers to a business run by a legal entity that is separate from the individuals who form the corporation; personal liability is minimized.

debtor
A tax role or responsibility in which the employer pays taxes owed by the business to the appropriate government agency.

decoder
A communication term which refers to the process of receiving a communication; perceptions, attitudes, and feelings affect how the message is decoded.

delegation
A management activity in which the manager assigns work to be done, gives needed authority, and assigns accountability.

democratic leadership style
A style in which the manager invites employee input in decision-making and gives feedback to employees on work performance.

encoder
A communication term which refers to characteristics of a communication style used including words, emphasis, facial expressions, etc.

evaluation
One of the basic functions of management which seeks to determine the extent to which plans and activities have been accomplished.

Gantt chart
A planning tool which identifies starting and ending times for certain events; events or activities are listed on the left of the chart from top to bottom; dates are listed across the top, left to right; a solid line or bar is drawn beside each event showing the time period in which the event occurs.

general journal
A written record of all financial transactions, recorded as transactions take place; from here transactions are recorded in the general ledger.

general ledger
A bookkeeping tool which contains accounts of financial transactions; accounts reflect income and expense items as shown in the budget.

goals
Statements which tell what a person or organization hopes to accomplish by some time point in the future.

implementation
One of the basic functions of management which involves putting a plan into action and ensuring progress.

income ledger
A bookkeeping tool in which income accounts are detailed; for example, a parent fees ledger shows how much is paid and owed by parents.

in-kind contributions
Contributions to a program that involve donations of materials or time; non-monetary contributions.

job description
A written statement describing the specific duties, qualifications, and supervisory responsibility of a job.

laissez-faire leadership style
A style in which the manager lets employees work independently; manager is easygoing and permissive.

leadership
A quality that good managers possess; this quality creates a desire in employees to willingly follow the manager's guidance and directions.

liability
Being legally, hence financially, responsible for a wrongdoing.

litigation
A legal term which means being involved in a lawsuit.

management
Refers to the activities of an administrator or a director to coordinate the activities of other people to achieve goals or results; involves five basic functions: planning, organizing, implementing, evaluating, and communicating.

milestone chart
A planning tool which shows a timetable for a sequence of events. Events or activities are listed on the left of the chart from top to bottom; dates are listed across the top, left to right; triangular shapes are used to show when a certain event needs to occur.

motivation
Internal energy or desire to engage in activities and do one's best.

nonverbal communication
Communication based on facial expressions, movements, posture, and tone of voice.

objective
A statement of what is to be done, under what conditions, and to what extent.

organizational chart
A visual chart which shows lines of communication and authority in an organization.

organizing
One of the basic functions of management which involves establishing lines of authority and communication for delegating and motivating people.

partnership
Refers to a business owned by two or more individuals who agree to operate the business; all partners are equally liable.

payroll ledger
A bookkeeping tool which details information about employees' salaries and deductions.

planning
Thinking which occurs before action; one of the basic functions of management.

policies
Statements which describe work procedures, rules, etc.; policies guide employees in meeting the needs of an organization.

precedent diagrams
A planning tool which shows what activities need to be done before other activities can take place; each activity is listed in a box drawn on the chart; arrows are drawn to show which activities come next.

probationary period
A time period during which an employee's performance is being closely evaluated; at the end of the period a new employee may become a permanent employee or be dismissed; a probationary period is sometimes established as a disciplinary measure for an employee.

sliding fee scale
A scale which determines fees to be paid by parents; fees are based on the family's income.

sole proprietorship
Refers to a business owned by an individual.

standing committees
The permanent committees of a board of directors including the executive, personnel, finance, building, program, and nominating committees.

start-up budget
A one-time budget prepared at the beginning of operation of a business; shows all costs for setting up the business.

subsidize
To give money to support a program.

Theory X
A management style which assumes that managers need to organize people and resources in an active way, otherwise people will not work; the employee is viewed as basically lazy and easily manipulated.

Theory Y
A management style which assumes that employees are basically willing to work and assume responsibility; the manager organizes people and resources so that employees can fulfill their own goals as well as those of the organization.

tort
A legal term which refers to a kind of liability involving civil wrong or negligence.

verbal communication
Communication based on words, symbols, and ideas.

voucher system
A financial management system in which an accounting firm is hired to take care of financial transactions and records.

zone supervision
A safe way for caregivers to supervise outdoor play by spreading out to various zones or areas on the playground.

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